

Copyright
by
Alexander Charles Warren
2008

**The Dissertation Committee for Alexander Charles Warren Certifies that this is the
approved version of the following dissertation:**

**A Multi-Case Study of Annual Giving and Fund Raising in Texas Gulf
Coast Community College Consortium Foundations**

Committee:

Walter Bumphus

John Roueche

Norvell Northcutt

Charles Cook

Mary Webeck

**A Multi-Case Study of Annual Giving and Fund Raising in Texas Gulf
Coast Community College Consortium Foundations**

by

Alexander Charles Warren, B.A.; M.S.

Dissertation

Presented to the Faculty of the Graduate School of

The University of Texas at Austin

in Partial Fulfillment

of the requirements

for the Degree of

Doctor of Philosophy

The University of Texas at Austin

December 2008

Dedication

This work is dedicated to my family - Jordan, Taylor and Karen; To my Block 59 Family near and far; To all those who called and gave words of encouragement; to the many students that we will assist through our fundraising efforts. To Framp, Rassie, James, and Eartha, because without whom, I would not have been able to be here to complete this task. Dr. Alvin and Dr. Patricia Larke, thank you for accepting me into your family, I am in debt to you. Finally, I dedicate this journey to Dr. William Moore; your memory lives within these pages and each day I will “open a new door”. With this, I show love to all of you.

Acknowledgements

Relationships are everything; I can definitely say this journey has had its twists and turns; without relationships it would not have happened. I have had so many supporters- educational, financial, social, and business – to inspire me.

I would like to thank Dr. Northcutt- I owe you a great deal- more than you will ever know- by getting me back on track. Dr. Walter Bumphus for your encouragement and verbal praise while on this journey. Dr. John Roueche, for seeing me as a future leader. Dr. Charles Cook, your inspiration during my tenure at Houston Community College will always be cherished. Ms. Hortencia for your guidance and insight; Angela (The Ph. Diva) you were the one who encouraged the annual giving bug. Margaretta, thank you for redirecting me away from the “Inmate Study” back in 2003 and “mentioning” my development and fund-raising abilities. Dr. Craig Follins, thank you for your weekly calls; Dr. Bernadette Hence for those research days at Rice; Dr. Charles Nwanwoko, for your “Kola Nut” my Igbo Brother- I deeply appreciate the significance; Dr. Bruce Leslie, Dr. Al Barringer, and Dr. Margaret Ford for your letters of reference to the Community College Leadership Program. Dr. Freddie Wade for your time; Dr. James Sparks, for your financial “encouragement”; Dr. Bradford, for the daily “word” and Dr. Tolley Reeves and your wholesome concern. Dr. Brenda Washington your spiritual guidance was the most important of all. Tracy Abrahms for your International Prospective. Dr. Sharon Noel for your “ears”; Dr. Mable Moore for the “attitude”; Dr. Thomas Green for “the edits”. Block 59, this is but a few of you who inspired, prodded, poked, threatened, and persuaded me to “get it done”, thank you all. Mr. Lindsey Dirden – finally –you can read it. Dr. Chet

Woodard, KIWANIS Houston Sunrise, the HCC Faculty Association; Wesley “Wellers” Livingston and Ann Slemmons Young, both in memory. Levi, Mr. “back to the World” Fresh Cuts.

Finally, a special thanks to the staff of Texas Tutor Professionals and Ms. Zandra Draper, thank you for the encouragement and motivation over the last five years.

A Multi-Case Study of Annual Giving and Fund Raising in Texas Gulf Coast Community College Consortium Foundations

Publication No. _____

Alexander Charles Warren, Ph.D.
The University of Texas at Austin, 2008

Supervisor: Walter G. Bumphus

Community college students are being forced to delay future educational goals, due to the lack of financial support. Grants, student loans and financial aid support from government sources are in short supply. While past resources from state legislative bodies are being restricted and have been reduced to historic levels; educational organizations –community college foundations - have had to associate themselves with numerous outside sources. Collaborative partnerships with business, government, and industry have helped to relieve financial short- falls and student scholarship pressures while building long term and sustaining relationships.

The purpose of this study was to investigate the process of annual giving within Texas Gulf Coast Community Colleges. A framework for the study was structured inside of five different institutions in the Gulf Coast region. Additionally, this study set out to

examine the overall context of annual giving and whether college foundations were utilizing annual giving as a relationship tool for development and fundraising purposes.

The research design followed an interview, case study format utilizing qualitative data. The study had several major findings. First, all colleges adhere to inputs, processes, and outputs. Second, by analyzing each of the inputs and processes, a set of output relationships- were discovered. Third, all institutions have a set of functions – financial, organizational, operational, and structural – which are in alignment with inputs, process and outputs. Fourth, brand identity helps to integrate donors and thereby, builds sustained and long-term support.

Annual giving within Texas Gulf Coast community colleges has become a major fixture as a fundraising practice. Foundations are making the most of this tool by positioning themselves with their community and thus, reaping the benefits of donor relationships.

Table of Contents

Chapter One: Introduction to the Study	1
Statement of the Problem.....	1
Government Programs to Assist with Financial Aid	6
Significance of the Problem.....	12
Specific Problem Area	13
Research Questions	13
Definition of Terms.....	13
Limitations	19
Chapter Summary and Organization of the Study	20
Conclusion	20
Chapter Two: Review of Related Literature	22
Introduction.....	22
Early Definitions and Historical Distinctions of Philanthropy	22
Definitions of Philanthropy and Fund Raising	26
Discussions of Theoretical Models.....	27
Relationship Building and Public Relations	27
Relationships and Communications.....	31
Relationships and Organizational Behavior.....	34
Climate and environment.....	34
Systems Rationale for Organizational Analysis	35
Open and Closed System Theory.....	36
Leadership.....	37
Transformational.....	39
Transactional.....	40
Trait	40
Behavioral.....	41
Contingency	42

Challenges to Open Access.....	43
History of Higher Educational Fund Raising.....	44
History of Community College Fundraising and Annual Giving.....	47
Characteristics of Community College Foundations	49
Characteristics of Institutional Actors on Annual Giving Campaigns.....	57
History within Networks.....	57
Political Connections	57
Organizational Image.....	57
Community Involvement in Community Colleges	58
Size as a Characteristic	59
Faculty and College Staff Involvement in Development.....	59
Chief Development Officer/ Advancement Director Staff Involvement	60
Role of Development Officer.....	61
Grants Administrators	63
College Board	63
President's Involvement in Development and Fundraising.....	65
Alumni Contact and Retention.....	68
Cultivating Relationships.....	69
Community Involvement and Collaborative Partnerships	71
Characteristics of Development and Advancement.....	73
E-Fundraising and Technology.....	74
E - Philanthropy	75
On-Line Asking	76
Structure of College Community Foundations as Non-Profits	76
Characteristics of Non-Profits with Tax-Exempt Status.....	77
Accountability of Non-Profit Status	78
Sarbanes - Oxley	78
Guide Star	78
Tax Form 990.....	80

Annual Giving Activities within Community College Foundations	80
The Jack Kent Cooke Foundation.....	80
Hudson Valley Community College.....	81
Delaware County Community College.....	81
Fundraising Award - Winner: Monroe Community College.....	82
The St. Francis College Community Annual Giving Program	83
Foundation Honors Women's Club Federation	83
Virginia Western Community College Annual Giving Campaign.....	84
The Victoria College.....	85
Bishop State Community College- Commemorative Brick Heritage Wall.....	85
Scholarship Funds Soar with Gala Success	86
Southwestern College Foundation Annual Garden of Giving	87
Annual Giving as the Foundation for all Successful Fundraising Campaigns	87
Annual Giving Strategies.....	90
Chapter Three Methodology	98
Introduction of the Methodology	98
Qualitative Research as a Method.....	98
Multi-Case Studies as a Method of Research	101
Research Questions of the Study	102
Reasons Participant Observation Methods Fit This Study	102
Design of the Study.....	105

Purpose of the Study	106
Humans	106
Descriptions of Subjects	107
Procedures.....	108
Ethnographic Interviews	108
Discussion of Trustworthiness.....	110
Dependability	110
Confirmability.....	110
Transferability.....	110
Environmental Database	111
Ethics	111
Data Collection	112
Gaining Access	114
Observation.....	114
Interviews.....	114
Interviews Protocol and Participants	115
Field Notes and Journals.....	115
Letters, Memoranda and Other Communique's	116
Methods Used to Strengthen the Validity of the Study	116
Triangulation.....	116
Rigor	117
Reliability.....	117
Validity	117
Quantitative Research as Method	118
Limitations to Methodology	118
Chapter Summary	118
Chapter Four: A Description of Results and Finding	120
Introduction to Results and Findings	120
Introduction to Fourteen Major Themes	121
Leadership.....	122

Involvement	125
Communications	128
Support.....	133
Awareness	138
Experience and Background	139
Relationships.....	142
Event Planning.....	146
Size.....	148
Events.....	152
Activities.....	156
Collaborations.....	159
Use of Technology	160
History.....	161
Conclusion	162
Chapter Five: Conclusions and Recommendations	164
Introduction	164
Chapter Overview	164
Theoretical Implications	165
Inputs.....	167
Processes	177
Outputs.....	194
Theoretical Review	200
Communications	200
Public Relations	202
Organizational Behavior	202
Practical Implications.....	206
Relationships are Everything- Inputs and Processes	206
Relationships are Everything- Inputs and Outputs	208
Connections to Established Relationship Models.....	210
Conclusion	213

Recommendations.....	215
Suggestions for Further Research	217
Summary	218
Appendices	220
Letter to Gain Access.....	221
Study Approval from Institutional Review Board	222
Bibliography	225
Vita.....	249

List of Figures

Giving Circles	95
Annual Fund Giving Circle.....	96
Participant Observation.....	112
Continuum of Participation.....	113
Community Relationship Model.....	165
Input/Processes Model	166
Output Model	208
Donor Integration Model	211
Brand Management Model	212
Community Relationship Model.....	214
Relational Output Model.....	214

CHAPTER ONE – INTRODUCTION TO THE STUDY

Statement of the Problem

Education is viewed as a “universal absolute” towards personal growth attainment and life-long accomplishment. Historically, community colleges were established as vehicles to aid students in their quest towards educational achievement. However, in recent years, numbers of students have seen their goals of educational attainment and dreams of life-long achievements challenged, derailed and abandoned due to lack of financial support.

Currently, community college foundations are facing a crisis of financial support. If not corrected, or given full attention, the crisis will lead to the futures of bright, eager, and ambitious students scorned and rejected, on the wayside of community college boulevards in all sections of the world. Because of this, educational organizations have an opportunity and are under increased pressures to build donor relationships, form collaborative partnerships and to sustain alliances through the process of fundraising and development. More specifically, annual giving is a fundraising and development process community college should explore as a vehicle to support students, maintain facilities, and employ the “best of the best” faculty.

Furthermore, community colleges have and continue to be instrumental in the transformation of knowledge into economic benefits for communities. Margarete Rooney Hall, from the University of Florida, Gainesville, in her article entitled *Building*

on relationships: a fundraising approach for community colleges, quoted Seymour (1989, p.5-24) as saying:

Community colleges have existed as open systems, drawing resources from the environment, transforming those resources, and returning them to the environment with value added so that the entire community is richer (Seymour, 1989).

Current data suggest these same institutions have served the educational needs of over 11 million students (Boggs, 2005) compared to 5.5 million in 1997, and as far back to 1965 when enrollment figures totaled about 1.2 million (Phillippe, and Patton, 2000). According to George Boggs, American Association of Community Colleges President, currently over 1200 community colleges are providing affordable entry into higher learning for close to half (45%) of all U.S. undergraduates; more than are attending many major universities (Boggs, 2005).

Community colleges have assisted students in setting and reaching higher educational goals; and in spite of many obstacles - shoestring budgets, governmental regulations, national tragedy and numerous financial woes - these institutions have performed admirably. In the face of these challenges, community colleges - as institutions of higher learning- have not lost sight of their stated purpose, which is to provide open access for all citizens and the direct preparation of a trained and well-informed citizenry for future generations.

The early beginnings of community colleges witnessed the highest levels of support for educational development. Records show that support levels from government (?) in 1918 were 94% of costs needed for community colleges (National Center for

Educational Statistics, 1995). On average, in 2000 nationally, community colleges received approximately 39% of their funds from state taxes, 20% from tuition and fees, 18% from local governments, 13% from the federal government, and 10% from other sources (Vaughan, 2000). State appropriations, as compared to former years, have been reduced to inadequate proportions.

Dr. Richard Fonte, then President of Austin Community College and member of the Board of Directors of American Association of Community Colleges, testified on July 15, 2003 before the Subcommittee on 21st Century Competitiveness, House Committee on Education and the Workforce. He said:

The average community college receives almost 60% of its revenues from state and local sources. As these public resources decrease or are greatly constrained, open access is threatened in two principal ways: increased tuitions and/or reduction of services (Fonte, 2003).

Further, according to recent data in 2004 from the Grapevines Project at Illinois State University, appropriation of state funding for public community colleges dropped by nearly \$584.8 million between 2002-2003, with 22 states (44%) reporting decreased funding (Grapevine, 2004). The American Council on Education notes “since 1991, states have reduced per-student funding to higher education by 7 percent in real terms, with ten states making cuts of more than 20 percent.” (American Council on Education, 2003). It does not appear as if community colleges will receive increased appropriations in the near future, and because higher education is viewed as discretionary, elected officials are not willing to bear the burden of funding all community college programs (Pichon, 1999).

With levels of support waning, numerous misconceptions exist as to the financial health of community colleges. These misconceptions have led to broad perceptions that two-year institutions are in great health as a consequence of federal and state appropriations, student fees, higher tuitions and the ability to set their own district rates (Zeiss, and Paneitz, 2003).

In fact, all of the above have contributed to exactly the reverse effects: Community colleges are more in need of outside funding than ever since their inception. As contrary perceptions have increased, so has the cost of educational access. The tradition of universally supporting the cost of student educational attainment has been replaced by a shift in the actual cost burden to the student (Hoover, 2004).

In a 2003 broadcast of News Hour with Jim Lehrer entitled “*Paying More for College*,” Lehrer stated that “when students at the nation's public colleges and universities return to school this fall, they will pay more for an education that in some cases will offer them less” (Silverman, 2003).

Education resources needed to provide a quality education are being threatened. According to the Chronicle of Higher Education, in spending plans that states adopted for the 2003-2004 fiscal year, aggregate appropriations for higher education fell 2.1%, to \$60.3 billion (Arnone, 2004). These threats are now apparently attributable to increased enrollments, decreased federal and state appropriations along with reductions in local support, and momentum from for-profit educational institutions. Additionally, technology costs, capital improvements, hiring of full-time faculty, and the addition of infrastructure for distance education, have all directly impacted the overall financial crisis which community colleges are facing.

The passage of the GI Bill in 1944 was a milestone in the federal funding for education of individuals and did much to break down the economic and social barriers to allow millions of Americans to attend college. Indeed, more than 2.2 million veterans, including more than 60,000 women and approximately 70,000 blacks, attended college under the GI Bill (AACC, 2004).

The 21st century will present new challenges for community colleges in meeting their needs for philanthropic support (Worth, 2002). These challenges will tax the resources of community college foundations. As a result, and if foundation directors cannot find a balance for funding and development, considerable evidence documents that community colleges may be on the verge of losing the ability to provide access and offer vitally needed educational student services (Pichon, 1999).

At the same time, institutional leadership is constantly being called upon to explore ways to expand the total resource pool and develop a commitment towards building increasing endowments within their institutions (Davis, 2003).

While public schools get government cuts, private schools tap into endowments and gifts from the wealthy. Out of the \$24 billion donated to the nation's 3,000 colleges in 2003, just 20 institutions controlled \$6.2 billion of the money. The leader was, not surprisingly, Harvard, which has a \$22 billion endowment. Harvard, Business Week pointed out, received the equivalent of \$28,300 per student in donations compared to \$36 per student at Palm Beach Community College in Florida (Jackson, 2005).

Reduced financial support and increased demands have created an environment in which community colleges have had to eliminate programs, cut back services, or seek

ways to enhance revenue (Kapraun & Heard, 1993; McLeod, Atwell, & Bedics, 1995). Both institutional advancement and capital development are destined to be affected by this crisis (Briggs, 2004).

Government Programs to Assist with Financial Aid

Even though overwhelming threats to higher education and student financial aid funding within the community college exists, national measures are in place to balance these threats. Governmental programs, such as the following, are in place to assist students with much needed financial aid:

Pell Grants: A Federal Pell Grant, unlike a loan, does not have to be repaid. Pell Grants are awarded only to undergraduate students who have not earned a bachelor's or professional degree. (A professional degree would include a degree in a field such as pharmacy or dentistry.) For many students, Pell Grants provide a foundation of financial aid to which other aid may be added. To determine eligibility for a Pell Grant, the U.S. Department of Education uses a formula established by Congress. This formula evaluates financial information a student supplies, the cost of attendance at their institution, full or part-time status, and whether the student attends for a full academic year or less. Pell Grant funds, and the maximum grant, are appropriated annually by Congress. The maximum award for the current award year (2004-05) is \$4,050.

Federal Supplemental Educational Opportunity Grants (FSEOG): FSEOG Grants provide an additional source of grant aid for exceptionally needy students. Supplemental Grant recipients use these funds in combination with other forms

of grant, loan and work-study aid to meet their total expenses. Any academically qualified student may apply for aid to complete a certificate or degree program. First priority for Supplemental Grant awards are Pell Grant recipients. The Federal share of the award under the program cannot exceed 75 percent; the remaining 25 percent of the award must be contributed by the participating institution. The maximum annual award is \$4,000; the minimum is \$100.

Work-Study: The Federal Work-Study program leverages resources from schools and the private sector to provide opportunities for students to earn money to pay for college. The program is also designed to encourage students receiving federal financial aid to participate in community service. In addition to providing self-help assistance for students, Federal Work-Study funds help create partnerships between the federal government, post-secondary schools, students and communities.

Leveraging Educational Assistance Partnerships: Through matching formula grants to states, the LEAP Program provides grant aid to students with substantial financial need to help them pay for their postsecondary education costs. This partnership between states and the federal government requires that states match federal LEAP funding. When the amount of federal funding reaches \$30 million, states that wish to participate must match the allocation 2 to 1.

Federal Family Education Loan (FFELP) and Direct Loan (DL) Programs: The FFELP and DL programs help make low-interest, variable rate loans

available to students and their families to pay for the costs of attending postsecondary institutions. Direct loans are provided and serviced directly through the federal government. FFELP leverages private capital from banks and other lenders, and are administered primarily through private companies, state and non-profit agencies. Federal loan programs assist a broad spectrum of students and their parents. The federal government pays loan interest for students with demonstrated need while they are in school and during grace and deferment periods. Eligible undergraduate students can borrow up to \$23,500 to pursue their studies.

Perkins Loans: The Federal Perkins Loan Program provides low-interest loans to needy students. Loan capital is procured from federal appropriations, institution contributions, and collections from prior borrowers. Funds are allocated by formula to institutions for distribution to eligible students. Eligible undergraduate students may borrow up to \$4,000 annually, with a maximum aggregate undergraduate limit of \$18,000.

TRIO: TRIO is a compilation of five programs that provide direct outreach and student support services to high school, college and university students. The programs are designed to encourage individuals from disadvantaged backgrounds to enter and complete college. By law, at least two-thirds of the students served by TRIO programs must be the first in their family to attend college.

Carl D. Perkins Vocational and Technical Education Act: Perkins Act programs are intended to enhance educational opportunities for all vocational career and technical education students at public secondary and postsecondary schools. Funds are disseminated to states, which in turn allocate funds by formula to secondary and postsecondary schools. State funds are used to provide technical expertise and professional development opportunities to teachers and administrators, develop accountability systems and support student organizations. Funds that are directed to public secondary and two-year postsecondary schools are used for program improvement, including equipment, curriculum development, and professional development.

Strengthening Institutions and Hispanic-Serving Institutions Grants: These programs award competitive grants to accredited institutions that offer undergraduate degrees. For Strengthening Institution grants, eligible schools must serve at least 50 percent of all Title IV student aid recipients, have lower than average expenditures per student, and enroll substantial numbers of low-income and minority students. For Hispanic-Serving Institutions grants, eligible schools must also have full-time undergraduate Hispanic enrollment of at least 25 percent, with 50 percent or more classified as low-income students (American Association of Community College, 2005).

The current Higher Education Act will include greater funding for community colleges, but this increase will not be enough to offset the dwindling amounts of state

appropriations from local sources. Community colleges have seen support steadily decrease from grant-based appropriations to loan-based funding.

Nationwide, money for community colleges fell at the same rate as for public four-year institutions, 2.1%, to \$10.95 billion (Chronicle of Higher Education, 2004). The relatively slow growth in grant aid has caused students to rely more heavily on loans. While grant aid grew by 6% from 2002 to 2004; the volume of federal education loans increased by 13% after adjusting for inflation. During that period, borrowing from private lenders increased by 43% (Hoover, 2004).

This change has caused scores of students to rethink their higher education possibilities. It is becoming harder and harder for our students to afford tuition, books and other costs associated with attending colleges (Association of California CC Administrators Report, 2005).

Education is viewed almost universally as the foundation for individual and societal achievement, and educational institutions are widely recognized as key mechanisms for transferring knowledge to the economy. As the perceived value of education has risen, so has the cost.

However, research indicates that funding from traditional sources will continue to decline (Lasher & Greene, 1993, 2001). In the “Voluntary Support of Education” report conducted by the Council for Aid to Education (CAE) and published in June 2000, giving to community colleges decreased in 1999–2000 by 8% from \$1.5 million per college to \$1.4 million (Roberts, 2002).

The survival of community colleges must be tied more than ever to successful philanthropic networks, fundraising development, and collaborative partnerships as a

way to compensate for the financial shortfalls they now face. Thus, successful foundations require long range planning and dedication (Miller, 1991).

This is distinct from the 1960s, when state and local taxes, tuition, and fees were the primary sources of funds, private-sector fundraising, thought to require affluent, and aged external support (Clements, 1996).

In recent years, community college foundations have come under increased pressures to apply annual giving development strategies in-line with their institutional goals, missions and values. These pressures include, but are not limited to, reconnecting with and recruiting alumni; stimulating community partners to give both in-kind and financial (dollar amounts) support and building better business relationships.

Institutional leadership constantly is called upon to explore new ways of expanding the total resource pool and develop commitments towards building and increasing endowments within their institutions (Davis, 2003). Both institutional advancement and capital development are destined to be affected by this crisis (Briggs, 2004).

Consequently, what procedures and methods of development and fundraising will institutions rely upon to meet both student access needs and institutional development responsibilities? As priorities for giving are shifting within corporate foundations, what measures are community colleges initiating to ensure a soft landing when foundational support begins to dwindle? How will administrators fill the void left when support for community colleges foundations are not seen as benefactors of one time huge amounts of corporate giving? Additionally, what procedures will development and fundraising directors use to attract both current and former students to give to their

beloved schools? And lastly, what activities will be identified as the most appropriate to secure institutional fundraising needs?

Given these points, this study will focus on annual giving as an additional opportunity by community college foundations to accomplish overall goals associated with development and fundraising. Moreover, by focusing on the characteristics of annual giving, this study will aid community college foundation leaders to facilitate student success within their institutions, the academic world and beyond.

Significance of the Problem

This problem is significant due to the current funding perils community colleges are experiencing and will continue to encounter into the future. Given the current state of development and fundraising activities, institutions are not positioned to respond to the many requests from financially disadvantaged students.

Colleges are increasingly unable to sustain financial support and educational access for all students. Community colleges are especially faced with growing demands, i.e., higher enrollments and technological needs, while reductions in local tax revenue, along with state and federal appropriations are reaching historical levels of reductions. As institutions face these funding challenges, community college foundations are beginning to implement fundraising and development strategies similar to established university models.

Therefore, the information and research gained from this study will provide a significant piece to the fundraising and development puzzle. In other words, institutions, which choose to use this information, can apply annual giving towards the role they play in the daily lives of community college students.

Specific Problem Area

Unlike the associations that four year schools have with alumni, community colleges are hard pressed to build similar allegiances. This then leads to the specific problem; how can development directors' fabricate annual giving opportunities to retain and recruit alumni, build collaborative partnerships, and integrate increased donor support. Craft and Guy (2002) emphasizes that alumni and non-alumni play a vital part in raising funds from private sources for educational funding at community colleges (p.29). These activities should be used to garner philanthropic support and seek alliances from non-alumni as well.

Research Questions

1. What are the necessary "inputs" financial, structural, organizational, and operational of a successful community college annual fundraising program?
2. What are the indicators (outputs) of a successful community college annual fundraising program;

Definition of Terms

Annual Campaigns- ongoing yearly appeals that provide supplementary support. New donors are solicited each year and previous donors are courted to increase their contribution from year to year. Fundraising approaches used in annual campaigns include phonathons, telethons, and direct mail solicitations, e-mail solicitations, Web-based solicitations, auctions and public service announcements.

Annual Fund- The annual fund can be counted on to help support immediate as well as long-term needs. Direct mail, telemarketing, and personal solicitations are all effective ways to reach out to friends of the college, many of whom can be counted on for gifts of \$500, \$1,000, or more each year.

Annual Giving- Annual giving programs are implemented so the college may obtain funds for specific, short-term objectives such as annual scholarship funds, general support for new academic programs, and support for innovative grant initiatives. Annual giving may be facilitated through auctions, golf tournaments, phonathons, or general one-on-one requests.

Auxiliary Enterprises- revenues generated by the auxiliary enterprise operations that exist to furnish a service to students, faculty, or staff, and that charge a fee that is directly related to the cost of the service. Examples are residence halls, food services, college unions, college stores, and movie theaters.

Best Practices- those practices and procedures, which will ensure that the goals and objectives are being accomplished to fulfill the mission of the organization.

Capital Campaigns- have loftier goals than annual campaigns, and gift requests are set far higher. Time frames in capital campaigns are generally spread out beyond a given year, such as a three-year campaign to raise \$5 million for a new gymnasium or a five-year campaign to establish a \$20 million endowment fund. Capital campaigns make for good public relations in a community because the goals are tangible and the results are highly visible. Because capital campaigns require sophisticated planning and expertise, you should secure professional help to implement such.

Community Foundation- is much like a private foundation; its funds, however, are derived from many donors rather than a single source, as is usually the case with private foundations. They pool the resources of many donors and focus their grantmaking on a particular city or region. The Cleveland Foundation and the New York Community Trust are examples of community foundations. The IRS classifies community foundations as publicly supported charities, not private foundations.

Corporate Foundations-are private foundations that receive funding from and make grants on behalf of a corporation.

Development- a continuous process committed to the long-term financial and physical growth of an institution; connotes a more sophisticated process of planning in which officers create a list of specific institutional needs; conducts research to find a pool of potential donors, and match the needs of the institution with the interests of the donors.

Development Officer- a professional assigned to the fundraising efforts in support of the college's mission and objectives.

Direct Grants- donations specifically given for the purpose of directly funding scholarships, programs or departments without the preservation of the original gift principal. These funds shall be expended as directed by the donor.

Endowments- funds intended to be invested in perpetuity to provide income for continued support of a not-for-profit organization.

Endowments Gifts- that have a donor stipulation that the gift must be held in perpetuity and only the interest earned on the investment of the gift be expended.

Federal Appropriations- all amounts received by the institution through acts of [federal legislation], except grants and contracts. These funds are for meeting current operating expenses, not for specific projects or programs.

Federal Grants- revenues from [federal] governmental agencies that are for specific research projects or other types of programs. Examples are research projects, training programs, and similar activities for which amounts are received or expenditures are reimbursable under the terms of a government grant or contract.

Foundations- foundations are also 501(c)(3) nonprofits and are one of the most complex components of the nonprofit sector. There are nearly 40,000 foundations in the United States.

Fundraising- solicitation of money from individuals who are making financial commitments for a cause or an institution.

In-kind Gifts- art objects, books, equipment, automobiles, and real estate are considered In-kind Gifts. They are gifts intended for use in the form in which they are given.

Local Appropriations- all amounts received by the institution through acts of [local legislation], except grants and contracts. These funds are for meeting current operating expenses, not for specific projects or programs.

Local Grants- revenues from [local] governmental agencies that are for specific research projects or other types of programs. Examples are research projects, training programs, and similar activities for which amounts are received or expenditures are reimbursable under the terms of a government grant or contract.

Operating Foundations-use the bulk of their resources to carry out their own charitable programs, rather than by making grants to other nonprofits. The Carnegie Endowment for International Peace and the Getty Trust are examples of operating foundations (Independent Sector, 2004).

Private Foundations-usually have a single source of funding (an individual, a family, or a business), and use income from investments to make grants to other nonprofit organizations. The Ford Foundation, The Carnegie Corporation, The American Express Foundation and the W.K. Kellogg Foundation are well-known examples. Private foundations are subject to more stringent regulation and reporting requirements than other types of nonprofits. Many corporations have in-house corporate giving programs instead of or in addition to corporate foundations.

Private Gifts- revenues from private donors [including foreign governments] for which no legal consideration is involved and private contracts for specific goods and services provided to the funder as stipulation for receipt of the funds.

Planned Giving- refers to the process of making a charitable gift of cash or non-cash. The non-cash gift usually requires considerable planning in light of the donor's overall estate plan. Gifts of stock, bonds, shares in mutual funds, a home or farm property, vacant land, vacation or rental property, commercial property, life insurance and other non-cash gifts can be made to the schools. Planned gifts are generally large contributions of accumulated assets, real estate, stocks, bonds, trusts, and paid-up insurance policies that require the oversight of a contributor's financial advisors.

Resource Development- a term more often used in community college settings, directly related to an institution's mission, and consists of the entire process of securing external funds.

Sales and Services of Educational Activities- revenue derived from the sale of goods or services that are incidental to the conduct of instruction, research or public service. Examples include film rentals, scientific and literary publications, testing services, university presses, and dairy products.

State Appropriations- all amounts received by the institution through acts of [state legislation], except grants and contracts. These funds are for meeting current operating expenses, not for specific projects or programs.

State Grants- revenue from [state] governmental agencies that are for specific research projects or other types of programs. Examples are research projects, training programs, and similar activities for which amounts are received or expenditures are reimbursable under the terms of a government grant or contract.

Types of Outright Gifts- cash, marketable securities (stocks, bonds, etc.); non-marketable Securities (partnership interests, closely held stock); real Estate; Tangible Personal Property (artwork, rare books, and stamp or coin collection).

Examples include:

Charitable Gift Annuity- In return for a charitable gift, a charitable organization provides an annuity to the donor and/or his or her beneficiaries.

Single-Life Gift Annuity- In return for a charitable gift, a charitable organization provides an annuity to the donor or to another person.

Two-Life Gift Annuity- In return for a charitable gift, a charitable organization provides an annuity to one person and then to another after the first person's death.

Deferred Gift Annuity-In return for a charitable gift, a charitable organization postpones payment of an annuity to an individual for a few or many years

Limitations

The study was conducted in the fall of 2007 and spring of 2008 over a three month period. The scheduling of interviews was particularly challenging, since many of the participants lived in other cities. Coordinating face-to-face meetings had to be scheduled whenever the interviewees were in town, or in many cases travel was required by the doctoral student conducting the interview. Interviews were conducted with sometimes limited availability and the time restraints of participants. The study is thus limited in terms of the number of institutions involved and its staff members participating.

Further, due to purposeful sampling of community college foundations on the Texas Gulf Coast, and based on a geographically defined group of colleges; regional differences may be established in annual giving campaigns within community college foundations in other parts of the country. These facts narrow the content of the study, limiting conclusions as applied to organizational patterns and behaviors in various parts of the country.

Finally, the study involved interviews of college personnel only and not actual or potential donors. A future study should target the donors as to their perspectives on the necessary factors for a successful annual giving campaign by community colleges.

Chapter Summary and Organization of the Study

This study is divided into five chapters. An overview of the research study, including an introduction, statement of the problem, significance of the study, purpose of the study, limitations of the study, definition of terms and organization of the study were presented in Chapter One. Chapter Two is a review of related literature pertaining to the impact of annual giving on development and fundraising campaigns.

Chapter Three contains a description of qualitative research as the methodology chosen and the reasons the qualitative methods were the best fit for the study. Chapter Three also discusses why quantitative research is a method which works well for this study and concludes with the reason humans were used, development of the instrument, description of subjects, procedures, method for analyzing the study, a discussion of trustworthiness, limitations of methodology, and the conclusion. A description of the results and findings is included in Chapter Four. Finally, Chapter Five contains a discussion of the findings and recommendations for further study.

Conclusion

Due to the increased need by community colleges to make better friends, build networks, and recapture alumni within their communities; development and fundraising officers are implementing annual giving campaigns. As a foundation function, annual giving can be utilized by community college foundations. This

vehicle can assist students with barrier free access to higher education while building sustained long-term relationships within any given community.

CHAPTER TWO - REVIEW OF RELATED LITERATURE

Introduction

"To give away money is an easy matter and in any man's power. But to decide to whom to give it, and how large and when, and for what purpose and how, is neither in every man's power nor an easy matter." – Aristotle

This review of the literature will provide an historical context for philanthropy and fundraising in American higher education. Further, it will also provide a discussion of some relevant theories in terms of relationship building, public relations, communications, organizational behavior, and leadership as factors that could contribute to successful fundraising campaigns in community colleges.

Early Definitions and Historical Distinctions of Philanthropy

People give to people. People don't give to a building or a cause. They give because someone asks someone (not a company, foundation or an organization) and because someone believes in the need (Murfield, 2005). The word *philanthropy* is Greek in origin and the American concept owes much to Jewish, Catholic, and Protestant tradition as well as to the English experience. Cotton Mather, a Puritan minister, argued in 1710 that everyone should engage in "a perpetual endeavor to do good in the world." (Foner & Garraty, 1991), (Lawrence & McGarvie, 2003).

In many ways Benjamin Franklin epitomized the American philanthropic spirit. Devoting the last part of his life to public service, he left a legacy that included the Library Company of Philadelphia, the school that became the University of Pennsylvania, and the Pennsylvania Hospital, and in his will, he established Franklin Funds in Boston and Philadelphia to lend money to "young married artificers of good character." (Foner & Garraty, 1991).

Robert L. Payton (1999, pp. 482-483) traces deeds of caring, viewed as philanthropic in nature, to the Middle East when several thousand years ago there emerged the first evidence of organized charity. In the oldest books of the New Testament appear mandates from God to come to the aid of *the widow, the orphan, the stranger and the poor*.

When you reap the harvest of your land, you shall not reap to the edges of the field, or gather the gleanings of your harvest. You shall not strip your vineyards bare, or gather the fallen grapes of your vineyards; you shall leave them for the poor and the alien; I am the Lord your God' (Leviticus 19:5).

Additional sermons and passages in the New Testament summarize Jesus' acknowledgement for all people to care and do for others. One of the most well known Bible passages is found in the Book of Matthew 25:35-37:

For I was hungry and you gave me food, I was thirsty and you gave me something to drink, I was a stranger and you welcomed me. I was naked and you gave me clothes, I was sick and you took care of me, I was in prison, and you came to me.

Further versions of philanthropic tradition can be found in classic Rome and Greece. In 123 [B.C.] Gaius Gracchus by a law of Tribune decreed that at a low price, or free of charge, all Rome citizens, or a section of them received every month a certain quantity of corn. Cicero, at time thought that this was a call to the masses to desert industry for idleness and saw that it was a drain on the Treasury (Veryne, 1990, pp. 236-237).

By the time of Saint Thomas Aquinas 1,200 years later, the short list from the New Testament had grown into two lists of “corporal alms” and “spiritual alms”. The corporal alms are ‘feeding the hungry, giving drink to the thirsty, clothing the naked, giving hospitality to strangers, visiting the sick ransoming prisoners, and burying the dead’. The seven spiritual alms are “instructing the ignorant, giving advice to those in doubt, consoling the sorrowful, reproving sinners, forgiving offenses, putting up with people who are burdensome and hard to get along with, and finally, praying for all” (Thomas Aquinas, 1975, p.241).

Four centuries later, in 1601, Queen Elizabeth I continues the Roman tradition of state assistance and giving by promulgating the Statute of Charitable Use. It included reference to gifts and other support for “relief of aged, impotent and poor people; some of the maintenance of sick and maimed soldiers and mariners, schools of learning, free schools, and scholars in universities, some for education and preferment of orphans” (Chesterman, 1975, p.25).

John Wesley further emphasized individual charity as actions that would be done beyond the church or the state. In one of his sermons, he stated to the congregation, “having first gained all you can, and secondly saved all you can...But let not any man

imagine that he has done anything barely by going thus far...now give away all you can” (Wesley, 1983, p.463).

The modern notion of philanthropy took shape around the turn of the century with Andrew Carnegie, who in an essay titled "The Gospel of Wealth" published in 1889, gave birth to the idea that the rich should, instead of "leaving their wealth to their families, administer it as a public trust during life."

According to Thomas Billitteri (2000) philanthropy and fundraising are as old as human-kind. He points out that large philanthropic actions were instrumental in shaping the education and professional standards of American society in the same way that the Russell Sage Foundation in 1907, the Carnegie Corporation of New York in 1911, and the Rockefeller Foundation in 1913 helped to shape American industrialism.

John D. Rockefeller and his trusted advisor, Fredrick T. Gates, epitomized the form and function of “scientific giving” (Friedman & McGravie, 2003) when millionaires like Carnegie and Rockefeller sought "practical, socially useful ways” of disposing of surplus wealth.

However, as Oliver (1999) reveals, the early driving motives of many individual philanthropists was to create a society molded on their own values based on democratic and capitalistic principles.

Similar motives led to the origination of a long list of well-established and diversified organizations, which incorporated comparable historical values on their way to becoming federated foundations, community foundations, corporate foundations, grant making foundations, affiliated foundations, institutional foundations, private foundations, and lastly educational foundations (Bremner, 1988).

Philanthropy has supported instructive endeavors since the beginning of educational foundations in some form or another (Brittingham & Pezzullo, 1990). Hence, the state of educational funding has community colleges asking, seeking, and expecting, external support through philanthropic support for annual giving campaigns (Burdenski, 2003). Moreover, nowhere has the need for broad external support been more recognized than within the community college.

Therefore, in combination with other ongoing methods of fundraising and philanthropic development, these organizations have realized the need to pursue annual giving, less as a choice, and more as a necessity (Degerstedt, 1985). As Babitz (2001) notes, we are fortunate to live in a country long recognized as a leader in philanthropy. It is time to gather our collective resources and put some of this wealth to work for American Community colleges.” Philanthropy is no longer just for the very rich,” says Robert H. Bremner, professor emeritus of history at Ohio State University. “Philanthropy is everybody's business now.” (Billitteri, 2000).

Definitions of Philanthropy and Fundraising

Philanthropy is private action that promotes public good (Herman & Heimovics, 1994) and can be seen as an instrument which helps to focus community college development and fundraising on institutional goals and missions.

Brian O Connell, author of *America's Voluntary Spirit* (1983), promotes the meaning of philanthropy as a collaboration of education, government, business, and community acting together to better serve public activities.

Discussion of Theoretical Models

Philanthropy holds a mirror to society's pluralism where the acts of others fulfill the needs of all of its members (Rosso, 1991).

Little theory has been used to ground the time-proven principles that have evolved surrounding the practice of fundraising and annual giving. However, much has been written about how to engage in such activities without the “foundational grounding” to promote adequate and successful results.

Payton, 1991, offers examples “of what the Greeks called phronesis or ‘practical wisdom’” (p. xiii). To provide the theoretical framework, the “*how come*” of fundraising, it draws from theories and research from the social and behavioral sciences, particularly public relations- that help us to understand and evaluate this organizational function (Kelly, 1998).

Relationship Building and Public Relations

Although there has been a dramatic increase of scholarly activity in the domain of philanthropy, fundraising as an organizational function has not been identified as one of the agreed upon problems that define the domain (in Peterson, 2002 edited by Worth, 2002).

Ledingham and Bruning (1997) point to the emergence of relationship management as a paradigm for public relations scholarship and practice calls into question the essence of public relations- what it is and what it does or should do, its function and value within the organizational structure and the greater society, and the benefits generated not only for the sponsoring organization but also for the publics these organizations serve and the communities and societies in which they exist.

In strategic public relations the term *Public* is used to describe “any group of people who share interests or concerns” (Johnston & Zawawi 2004: 15). Ronald Smith in his book ‘Strategic Planning For Public Relations’, identifies four categories of Publics: Customers; Producers; Limiters and Enablers (Smith 2002: 42).

1. Enablers are those publics who serve as regulators (Smith, 2002: 42).
2. Customers are current, potential and secondary users of the organizations service, i.e., educational opportunities (Smith, 2002: 42).
3. Limiters are the publics who act as competitors, opponents, or hostile forces (Smith, 2002: 43).
4. Producers are those publics who provide input into the organization. This includes staff, supporters/ donors, and investors [alumni] (Smith, 2002: 43).

According to Michael Worth, editor of the book *New Strategies for Educational Fundraising*, (p.320), public relations can contribute to educational fundraising on three levels:

1. Contextual—creating visibility for the institution and enhancing its reputation with a variety of constituencies so that fundraising can succeed;
2. Strategic—helping to resolve the “what” and “why” issues of educational fundraising - (that is, “What are we going to do?” “Why are we going to do it?” and “How do we explain it for maximum effect?”)
3. Tactical—determining how to fulfill fundraising goals and objectives with specific events, communications vehicles, and other activities.

The relationship paradigm as a fundraising notion in relationships appears first to have been advocated by Ferguson (1984). Broom and Dozier (1990) suggested a co-orientational approach to measure organization - public relationships. Dozier (1995) called for the use of communications as a “strategic management function (that helps) manage relationships with key publics that effect organizational mission, goals, and objectives”(p.85).

The dominant paradigm for studying inter-organizational relationships draws from resource dependency theory (Aldrich, 1976; Lincoln & McBride, 1985) and exchange theory (Cook, 1977; Levin & White, 1961); (Sterns, Hoffman, & Heide, 1987). According to resource dependency theory, relationships form in response to an organization’s need for resources. Satisfying the need for resources allows an organization to survive, to grow, and to achieve other goals. Relationships consist of the transactions involving the exchange of resources between organizations. Similarly, exchange theory suggests that voluntary transactions result from knowledge of domain similarity and lead to mutual benefit, as well as to a mutual goal achievement.

Beyond the need to understand the overall influence of relationship theory and its affect on public relations in the process of annual giving and fundraising; the need to explore both communications and organizational behavior theories are also apparent. Surra and Riley (1991) suggested that relationships are both objective realities and subjective realities and partners in the relationship “know how to behave toward the other and to understand, predict, and interpret the other’s behavior...” (p.38). Millar and Rogers (1976) go on to cast relationships in a symbolic interaction perspective or role specific category:

People become aware of themselves only within the context of their social relationships. These relationships, whether primarily interpersonal or role specific, are bestowed, sustained and transformed through communicative behaviors” (p.87).

Theoretically, organizations enter relationships because of their dependence on other organizations for resources (Houghland & Sutton, 1978; Van de Ven, p. 25). The emphasis is on the exchange of resources: “An inter-organizational relationship (IOR) occurs when two or more organizations transact resources (money, physical facilities, and materials, customer and client referrals, technical staff services) among each other” (Van de Ven, p. 25).

Walker and Van de Ven (1984) specified three conditions, one of which must be present for the formation of an IOR:

First, a scarcity of resources may cause an organization to become dependent on another. Second, a requirement for specialized services or skills needed to fulfill obligations may cause the IORs. Third, relationships may result when organizations operate in similar domains in which they have a similar interest, similar clients, similar services, similar skills or similar needs. Under the third condition, the resulting relationship may take the form of competition (p.11 in Ledingham & Bruning, 2002)

James Gruning underscored the importance of “building relationships with publics that constrain or enhance the ability of the organization to meet its mission” as an essential factor in relationship building (1992, p. 20). Knowing how they think and act gives you the power to turn your donors into lasting, dedicated advocates for your

nonprofit. Building long-term relationships with donors is one of the most important and powerful concepts behind fundraising (Grunig, 1992).

In their influential book, *Managing Public Relations*, James Grunig and Todd Hunt (1984) identified four now-famous evolutionary models of public relations. The first two—exemplified by press agency and public information—rely on one-way dissemination of information. The latter models—an asymmetrical one associated with persuasion, a symmetrical model dealing with dialogue and relationship building—feature two-way communication for both dissemination and research/feedback. Each of the models is evident today, often used by the same organization. Each can be effective in achieving particular organizational objectives. An interesting tug-of-war exists between the persuasion and relationship models. In subsequent research, Grunig (1992) himself noted that many organizations still primarily practice the persuasion mode.

Relationships and Communications

Rather than manufacture definitions, Ronald Smith (2002) in his book, *Strategic Planning for Public Relations*, focuses on the characteristics of strategic communication. Smith theorizes that effective communication programs include attributes which apply equally to colleges, corporations, nonprofit organizations and to large and small endeavors. Spurred both by regulation and customer demand, organizations must be *accountable* to their publics. Most publics are increasing their expectations for *quality performance* and *open communication*. Organizations are successful in the long run only to the extent that they have high performance, delivering quality products and services. Strategic communication enhances reputations by accurately reflecting the organization's performance. All organizations operate in a *competitive environment*.

Publics besought by rivals will remain loyal to those organizations that earn loyalty consistently and continuously (Smith, 2002).

Effective communication involves *cooperation* between public relations and marketing. Just as each knight was an equal participant at the round table in King Arthur's court, so too at today's management table both disciplines have effective and equal voices. The consumer philosophy has taken hold of all aspects of society, and organizations must answer with a *customer-driven response*, focusing on benefits for their publics. People support organizations they believe serve their interests and needs (Peterson, 2002).

Organizational communication adheres to *high ethical standards* of honesty, accuracy, decency, truth, public interest and mutual good. Growing numbers of organizations have developed clear credos or codes of ethics. Mergers, downsizing and restructuring have led both businesses and nonprofits to seek ways to operate with *lean resources*, and the duplication that exists amid the isolation of marketing from public relations often is too great a price for organizations to pay (Berger, Heath and Bryant, 2000).

Strategic communication is part of an organization's *management function* and decision making process, based on careful planning that identifies issues, gathers data, considers alternatives and determines action. It is rooted in the organization's mission as lived out through its bottom line. Note that this bottom line goes beyond money earned or raised; it focuses on the organization's fundamental purpose or mission. Organizational goals and positioning statements are carried out through specific and

measurable objectives that chart the course for desired levels of awareness, acceptance and action. Strategists plot courses and measure results (Dozier, 1995).

Many *media changes* are affecting the way organizations communicate. The “mass media” have fragmented to the point that none rules supreme anymore. Lines are blurring between news and entertainment. Meanwhile, increasing advertising costs and tighter promotional budgets have led organizations to look at the more cost-effective communication and promotional tools from the public relations side of the house. Strategic communication uses *multiple tools*, drawing from all communication-related disciplines to talk with various groups of people.

New technologies make it easier to supplement general media with more personal and interpersonal targeted communication vehicles. The strategy of choice in a competitive environment is *proactive, two-way communication*, in which organizations plan for and initiate relationships with the people important to their success, emphasizing dialogue over monologue and using various techniques to interact with their publics and markets (Berger, Heath, & Bryant, 2000).

Organizations are successful to the extent they enjoy a strong *reputation*, which results from neither accident nor luck. Strategic planning can identify and evaluate an organization’s visibility and reputation. No organization can afford to be a “best-kept secret” among a relatively small number of supporters; continuing effectiveness requires the development and maintenance of a strong and positive reputation.

All kinds of organizations are realizing more keenly the need for long-term, mutually beneficial *relationships* between the organization and its various publics and

market segments. Public relations practitioners long have recognized this, and marketing more recently has been discussing the need for relationship marketing (Smith, 2002).

Berger, in Heath and Bryant (2000), suggest, if people are to successfully calculate and exchange what is appropriate to achieve a strong relationship, they must use communication tactics to reduce uncertainty in regard to what conditions produce an equitable social exchange. This process is difficult and fraught with ambiguities and inaccuracies. It is difficult to tell what each relational partner thinks is a fair exchange and whether sufficient exchange has been accomplished. Knowledge of what constitutes equitable exchange can be used as relational power and can lead to conflict (p.280).

Relationships and Organizational Behavior

Climate and Environment

Cheney (1991) noted “the purpose and direction of an organization (its mission) is affected by relationships and key constituents [publics] in the organizations environment”. Before settling on a definition of climate, let's review several approaches. One reason is that climate consists of traits that are the product of the structure and operations of an organization, not of the people in the organization. Analyzed in this way, the climate of an organization exists even when its membership changes (Tagiuri, 1968). This is an organizational trait view of climate.

Falcione and Kaplan (1984) offer the perceptual measurement-individual attribute model. It treats climate as the product of the contact each individual has with each organization. Climate is based on traits of the company that are revealed by what

occurs during its activities (how people act toward and react to one another) and the relationships that develop between them.

Based on this interaction, they perceive the traits of a company—or any type of organization. People compare the traits they discover against those they prefer as the ideal organization. People prefer organizations that have climates that match their personalities and needs. They seek to associate with members who share their views of climate. This view of climate stresses relationship variables (Heath, 2000).

Members of organizations, especially those where they work, struggle to balance multiple identities because they identify with many organizations (Cheney, 1991). Communication in organizations is not neutral; managements attempt to use it for purposes of domination and control, a tendency that may damage organizational effectiveness and human relations, as well as harm the human spirit (Mumby, 1988).

Without information regarding what is going on outside of itself, an organization might have a false sense of certainty. As the environment becomes more turbulent, more effort is likely to be exerted. Informational and persuasive campaigns often involve the use of mass-mediated communication, such as print or electronic ads regarding products or services to reduce uncertainty (Dutton & Duncan, 1987; Dutton & Ottensmeyer, 1987). As organizations communicate outwardly, they provide information and influence aimed at shaping judgments and behaviors of people who are not their members (Huber & Daft, 1987).

Systems Rationale for Organizational Analysis

Since the 1940s when it emerged, systems theory or metatheory has been used to achieve insights into relationships. It was especially influential for the study of

organizational behavior. It reasons that each organization is a system that exhibits specific dynamics (Heath, 2000). A system, Fisher (1982) defined, is "the 'all' of a thing" (p. 199). It is an organic whole that not only consists of subsystems but is also part of larger systems, suprasystems that are also called environments (Heath, 2000).

Stressing its dynamism, Krippendorff (1977) reasoned that "a system consists of a set of states that are chained in time by a transformation. The states take account of the relations between the parts of the system, so that changes over time imply changes in the relations among the system's parts" (p. 150). As any part of a system changes or is affected, so are its other parts. A major issue in organizational behavior is relationship and flow of communication between people. In this way, "parts of a system are often viewed as integrated into a whole so that they serve a common or overriding purpose" (p. 150).

As systems, organizations constantly change (Morgan, 1982). A systems approach to organizational communication expands the model of sender-to-receiver to feature communication networks to explain how systems adapt to their environments (Heath, 2000).

Open and Closed System Theory

The fundamental systems-interactive paradigm of organizational analysis features the continual stages of input, throughput (processing), and output, which demonstrate the concept of openness/closeness. A closed system does not interact with its environment. It does not take in information and therefore is likely to atrophy.

An open system receives information, which it uses to interact dynamically with its environment. Openness increases its likelihood to survive and prosper. According to

Fisher (1982), "openness is the free exchange of energy between the system and its environment. That is, to the extent that the boundaries are permeable and allow the exchange of information—what energy is to a physical system, information is to a social system—that system is said to be more nearly open than closed" (p. 199).

Leadership

According to Bess (1984), leaders in the new era may serve two functions, one which is external (obtaining needed resources for the organization) and the second a more internal (sharing of ideas and shaping values around the importance of the mission) (p.146).

The ability to see alternative views, to accept new challenges, to vary old ways of leadership, to introduce new concepts and new ways of putting concepts into operation will be crucial for community college leaders in the future (Cohen & Brawer, 1994). Characteristics of a high-performance college (where leaders successfully facilitate change) are: intense service and market driven; team-based; highly autonomous and decentralized; networks, partnerships, and alliances; fewer and focused staff professionals; fewer management levels (Hall, 2003).

In *Contingency Theory of Leadership Effectiveness'* developed by Fred E. Fiedler, leadership effectiveness is more a result of interaction between the style of the leader and the characteristics of the environment in which the leader works (Gray & Starke, 1988). It is through excellent execution of key management functions such as planning, organizing, leading and controlling paired with leadership attributes, that an excellent leader is defined (Daft, 1997).

Trice and Beyer (1993) proposed, “Leadership can create, change, embody, or integrate the cultures of organizations” (p. 264). Leaders influence the understandings and networks of meanings that others hold and express through their actions, according to their model. This cultural leadership seeks to attract followers and unite them or to displace old cultural elements with new ones. Leaders must develop the ability to recognize the nature of an organizational problem in order to exercise the right form of cultural leadership.

Burke and Litwin (1992) purported a causal model of organizational performance and change that suggests how leadership and culture influence each other to affect the ultimate performance of organizations and individuals. Their model suggests that the external environment is viewed as the input, the individual and the organization are the output, and a host of internal factors represents the throughput.

Leaders respond to external conditions and in turn, become transformational agents within their organizations using the vehicles of mission, strategy, and organizational culture to affect changes in organizational and individual performance. Cunningham (1991) emphasized that it was the leader’s responsibility to promote an organizational culture of change. He indicated that it was also the leader’s responsibility to model the behaviors that were expected of the institution.

Valenzuela (1999) offers that “whenever the leadership is weak or ineffective a culture of authentic caring is hard to create.” When organizations are conceptualized as cultures, they are conceived as mini-societies with their own distinctive values, rituals, ideologies, and beliefs (Morgan, 1998).

Transformational

A transformational leader inspires followers to work towards the good of the organization over their own self-interest (Robbins, 1995). For Burns, the transformational leader is the leader with vision (Burns, 1978). In his book, *The Crisis of Leadership*, Burns (1978) defines the transforming leader as one who "looks for potential motives in followers, seeks to satisfy higher needs, and engages the full person of the follower." In that same passage, Burns identifies the results of transforming leadership as a relationship of mutual stimulation and elevation.

Whisnant (1990) states that for this style of relationship to exist and flourish, followers must hold a presidential image of trust and confidence. The president alone, through behavior and appearance, is responsible for the creation of such an image (p.6). It is the development and communication of vision that ultimately determines the potential of the president and prevents the position from becoming one of just management. Parks (1986) carries the concept a step further in stating "leadership cannot exist in the absence of vision."

According to Astin, 2001, the leader is a communicator. The Transformational leader can share his or her vision with followers in such a way as to focus the attention and effort so that all are directed to work toward the desired outcome. The leader demonstrates an awareness of beliefs, values, attitudes and emotions that motivate transformation (pg. 16). Transformational leaders also exhibit specific attributes such as vision, influence orientation; people oriented, have the ability to motivate and have certain values that are beneficial to all constituents of the institution (Roueche, Baker & Rose, 1989).

Transactional

Transactional views of leadership conceptualize the leader-follower relationship in terms of the leader's ability to exercise influence over followers. This group of theorists made followers central to the understanding of leadership due to the significant role that followers play in the negotiation of the exchange relationship. Hollander's (1979) social exchange theory and Graen and Cashman's (1975) leader-member exchange theory both emphasized the critical role of followers in establishing the capacity of the leader to influence the attitudes and actions of people.

Interest in the nature of the transaction or relationship between the leaders and followers led to a growing interest in the concept of "followership" as a key element in understanding the nature of leadership (Kelley, 1992). It was argued by proponents of "followership" that the success of any group or organization depends not only on the basis of how well leaders lead, but also on the basis of how well followers follow. Moreover, follower perceptions of leaders were considered to have a significant impact on the effectiveness of those in leadership positions.

Currently, it is generally accepted that followers play an active role in the leadership-follower relationship. All leaders are also followers in other contexts, and so the concept of "followership" has gained acceptance as an important part of the leadership process (Rost, 1991).

Trait

In a very recent dissertation from the Community College Program at the University of Texas at Austin, Ates (2003) states that the word *leader* first appeared in the English language around 1300 AD. However, the word *leadership*—applicable to the

political influence and control of the British Parliament—did not appear in written form until the first half of the nineteenth century, approximately 200 years ago (Bass, 1990).

Even so, the writings of the ancient Egyptians, Chinese, Greeks, and other cultures have contained ideas about leaders and leadership that shaped the development of civilized societies. Bass indicates that from the beginning of history all societies have created legends about their great leaders and epics about the exploits of individual heroes (Ates, 2003).

One of the earliest approaches to studying leadership was the trait approach, which sought to isolate the specific attributes and qualities that differentiated leaders from non-leaders (Page, 1935). This view of leadership was influenced by the popularity of the “Great Man” theories and led to a large body of research in search of the identification of personal characteristics associated with effective leaders. Over several decades of research, however, researchers were unable to substantiate the premise that certain leader’s traits are essential for leader success (Yukl, 1998).

Behavioral

Behaviorism was gaining acceptance during the 1940s and 1950s among social scientists. The focus of much of the early research during this period was concerned with finding ways to classify behavior in order to facilitate the understanding of leadership. Behavioral researchers were interested in identifying which behavioral style was most effective across the broadest range of situations (Schriesheim & Neider, 1989).

Despite the accumulation of a large body of research, scholars concluded that the behavioral view of leadership contributed little to our understanding of the nature of leadership (Cribbin, 1972). A single best leadership style has not been identified. Also,

our ability to predict leader's effectiveness based on the demonstration of specific leader behaviors remains limited (Fiedler & Garcia, 1987).

Contingency

The advent of contingency perspective of leadership brought the view that there was no single preferred approach to leadership. Advocates of contingency models contended that the nature of leadership was best understood by exploring leader's effectiveness in terms of situational factors. Thus, the focus of research turned to the impact of leaders behaviors in the context of specific leadership situations (Yukl, 1998).

Leadership theories exemplifying the contingency perspective include Fielder (1967), Hersey and Blanchard (1977), and the path-goal theory of leadership (Wofford & Liska, 1993). Contingency models stress the importance of understanding the influence of situational variables on leadership and are considered by many to have been the dominant leadership paradigm of the 20th century. Contingency theory represents an attempt by researchers to address the issues raised by Yukl (1994) concerning whether leadership is innately developed or is a factor of specific social situations.

According to Gray and Starke (1980), a fundamental supposition of contingency theory is that different situations demand different leadership styles. In order to demonstrate effective leadership behavior, environmental variables must be taken into consideration. "Contingency approaches attempt to predict which types of leaders will be effective in different types of situations" (Hoy & Miskel, 1991, p. 270). Williams and Huber (1986) explain that contingency theory assumes leaders will lead the same people differently under different circumstances by modifying their behavior to fit the unique

demands of the situation (p 87). According to Bess (1984) situational leadership can be associated with success (p. 64).

Challenges to Open Access

In a landscape, where community colleges have publicly declared themselves “institutions of open access”, which includes low-priced access as a core mission; leaders of community college foundations have become subject to the same challenges of leadership instability, inadequate revenue generation and maintenance of charitable giving levels as numerous historically renowned universities and institutions of higher education. Facing these challenges, annual giving as an opportunity to sustain long-term growth in community college foundations, has increasingly become a focal point of institutional development.

Philanthropy begins at home. Trustees, board members, faculty, staff, and friends should give generously and annually, setting an example for outside support from individuals, corporations, and foundations (Joslin, 1995). In other words, as a new trend, if community college fundraisers can show that they are taking care of their own, they may be more successful in their efforts when soliciting potential donors. Therefore, philanthropic practice, or people acting together through charitable organizations, begins when active participation and financial support are requested from individuals, businesses and the government itself (Rosso, 1991).

According to, Prof. Paul Schervish and John J. Havens at the Social Welfare Research Institute of Boston College, common associations for a shared good can broadly sustain educational support in the community college world. They point out that:

Community college foundations are just beginning to tap the philanthropy iceberg; they predict that \$40 trillion to \$136 trillion will migrate between generations over the next 50 years. Professor Schervish estimates that \$19.2 trillion to \$50.2 trillion will be spent on philanthropy by 2052. He warns charities, including community colleges, that much of that money will find its way to new philanthropic ventures. However, community colleges will only benefit if they continually develop relationships to support their missions (Strom, 2002, p. 1).

History of Higher Education Fundraising

Philanthropy is not a new construct developed in the last several centuries, but rather has roots that can be traced back to about 4000 B.C. where it is written in Egypt's Book of the Dead that praise should be given to those who feed the hungry and give water to those who thirsted (Gurin & Van Til, 1989). Some of the earliest examples of educational philanthropy include Greek philanthropist Cimon's support of the Academy of Socrates and Plato (Bakrow, 1961; Brittingham & Pezzullo, 1990; Cowley, 1980; Crawford, 1976; Fisher, 1989; Schulze, 1991).

More examples of educational fundraising are also documented more than 2000 years ago, in the fourth century B.C., when Plato directed that after his death "the income from his fields to be used to support the Academy" (Brittingham & Pezzullo, 1990, p. 5). Additionally, Marts (1953) reports that Alexander the Great enabled the opening of Aristotle's Lyceum through his financial support. Centuries later in England in 1601, The New Statute of Charitable Uses institutionalized two concepts: public

regulation of charity and philanthropy, and the encouraging of giving to charitable causes (p.5) (Chesterman, 1975, p.25).

The history of educational philanthropy in the United States can be traced back to medieval universities in twelfth century Europe (Miller, 1991). In these institutions, founders were forced to approach potential donors for money and resources for college operations. Wealthy individuals established endowments to support the universities of Paris, Oxford and Cambridge (Schachner, 1962).

The idea of the chief faculty member raising funds for the institution were transferred to the early colonial colleges (Miller, 1991). Cutlip (1965) concludes from his research that systematic fundraising traces its roots to the twentieth century, and that early efforts were limited, and involved only a few wealthy benefactors.

Beverly McAnear (1952) in Culip's book, *Fundraising in the United States*, states that in the early days, as now,

The greatest problem faced by the college administrators was that getting the money necessary to keep the college open, for collage student fees paid only a small part of the cost. In their search for requisite funds, promoters of the new colleges found that tapping into the provincial treasury yielded only a trickle of cash.

Harvard, Yale, and William and Mary all had been given both grants and annual subventions by their respective provincial governments or by the King (Cutlip, 1965 and McAnear, 1952). While the needs of newly developed colleges were growing, and even then state support was weaning, the raising of funds for colleges was becoming increasingly difficult.

Early philanthropic activities for educational purposes grew out of support from the wealthy few and a relatively young nation, in response to personal begging appeals, which for the most part went to churches, the pitifully poor, the funding of schools and the establishment of colleges (Cutlip, 1965; Murfield, 2005).

More specifically, educational fundraising in America began in 1641 when the Massachusetts Bay Colony sent three clergymen to England to raise money to support Harvard College; (Brittingham & Pezzullo, 1990; Curti & Nash, 1965, Chewning, 1984). The custom of returning to Great Britain to ask for contributions continued for almost a century in order to support nine colleges created during the colonial period (Oliver, 1999; Foner & Garraty, 1991; Lawrence & McGarvie, 2003).

Formal alumni funds began to appear in the 1800s, often prompting the concept of an endowment for the school (Worth, 1993). Further research shows that in 1821, Williams College established the first alumni association and in 1823, Brown University established the first alumni fund (Curti & Nash, 1965). Not until 1897 did the first public university (University of Michigan) establish an alumni association (Curti & Nash, 1965).

This difference in organizational behavior between public and private institutions is repeated throughout fundraising history, although only minor differences exist today (Kelly, 1998). Even though, alumni associations were beginning to establish themselves; the first permanent alumni fund was established at Yale in 1890 (Seymour, 1988).

The oldest independent, but affiliated, foundation, created to aid a state institution with private resources, is the University of Kansas Endowment Association

established in 1893 (Luck & Tolle, 1978). Subsequently, Bowdoin College of Maine is recognized as having created the first annual giving program in 1869 (Hillman, 2002).

History of Community College Fundraising and Annual Giving

The history of foundations at community colleges has been much shorter than that of university foundations. The first public junior college opened in Joliet, Illinois, in 1901; and in 1906 Midway Junior College, a private school in Kentucky, was the first two-year institution to establish a fundraising foundation (Duffy, 1982). "Because national records are sparse, it is difficult to identify exactly when the first community college affiliated foundation began" (Robison, 1982, p. 33).

Available records indicate that Long Beach City College established a foundation the year it opened in 1922. Vincennes University, in Indiana, a two-year institution despite the name, established a foundation in 1942. Santa Monica College, in California, created a foundation in 1955 (Robison, 1982).

Highlands Community College, in Freeport, Illinois, began its foundation in 1962 and was the first community college foundation to have its story documented in a national publication (Duffy, 1980). In the 1970s the American Association of Community and Junior Colleges (AACJC) encouraged member institutions to initiate development efforts.

The National Council for Resource Development (NCRD) was chartered as an affiliate organization to provide assistance and training on private foundations, grantsmanship, and corporate giving. In 1974, the Council for Advancement and Support of Education (CASE), which was originally formed to assist private and senior

public higher education institutions, opened its membership to community colleges (C. R. Clements, 1996; Miller, 1994; N. J. Smith, 1993).

In Florida the state legislature even provided incentives in the form of matching funds to encourage community colleges to solicit charitable endowments (Wattenbarger, & Witt, 1995). Because community colleges were state-supported institutions, many presidents did not think it appropriate to engage in soliciting private funds (Anderson & Snyder 1993). Begging for "added revenue to supplement vanishing public dollars" (Bock & Sullins, 1987, p. 18) was a disgrace. Some feared if community colleges were successful in raising money, state allocations would be decreased proportionately (Curti, & Nash, 1965).

Others argued that private fundraising by community colleges created unhealthy competition for financially strapped private institutions, despite the fact that these very institutions were aggressively pursuing public funds (McCabe, 1996). Angel & Gares (1981) wrote that by 1980, 18 community colleges claimed that their foundations were 20 years old or older. In 1987, 53% of the community colleges in the nation had established foundations.

Many, however, were passive, serving only as collection agencies for donors and alumni who contacted the college with references to potential donations (Jenkins & Glass, 1999).. Philanthropic endeavors are relatively new to community colleges, which were the last segments in higher education to organize fundraising activities and aggressively pursue alternative sources of revenue (Anderson & Snyder, 1993; Miller, 1994).

Characteristics of Community College Foundations

Community colleges are responding to decreasing funding and rising costs by mounting aggressive fundraising campaigns to solicit financial support from individuals and corporations. The not-for-profit community college foundation plays a major role in the colleges' overall resource development plan by soliciting gifts directly, promoting the college to its publics, and determining how the resulting funds are allocated (Keener, 1982). Resource development efforts within community college grants and foundation offices are resulting in substantial external revenue for the ongoing vitality of America's community colleges (Keener, B. J., Carrier, M., & Meaders, J., 2002).

With dramatic increase in student populations, lowered state and local appropriations, and the rising annual cost of education as a burden to the student; foundations are beginning to realize the need to structure their activities and focus on their roles in the overall mission of the institution. Kopecek (1982) highlights a number of ways in which foundations can benefit community colleges.

Because a non-profit foundation has tax-exempt status, the contributions of individuals, businesses, and corporations to the foundation are tax deductible, while donations made directly to the college are not. Foundation support permits colleges to implement programs and services that are not within their operating budgets. Possibilities include community service programs for older adults, enrichment programs for talented or at-risk high school students, day care centers for the children of the students and staff, or specialized in-service training. Unlike public funds, foundation money is not restricted to basic functions,

making it possible for community colleges to build facilities, such as art centers, museums, or theaters; offer recreational, remedial or community service programs; and purchase sophisticated technological equipment that cannot legally be financed with state moneys. Ties with community leaders can be strengthened. Foundations give alumni and other college supporters an opportunity to show their appreciation in tangible ways (p.125).

Duffy (1982) reports that the community college foundations that most effectively meet their goals share the following characteristics:

1. Have strong public relations with the community;
2. Involve community leaders and potential donors in their operations;
3. Provide for community involvement in campus activities;
4. Sponsor college-oriented events on an ongoing basis;
5. Serve as a major source of student financial aid; and
6. Initiate new ideas and processes (p.67– 86).

An extra measure of the success of a foundation is the number and amount of donations they solicit. Reporting on a national survey of community colleges, Degerstedt, (1982) identified the following fundraising methods as most effective:

- 1-Personal solicitations, including those made by foundation board members
- 2-Direct mailings to the community at large
- 3-Special events business/industry donations
- 4-Limited direct mailings to targeted groups, such as alumni, businesses
- 5-Special interest groups

6-Annual fund campaigns

7-Memorial gifts

8-Membership dues

9-Wills, bequests, estates; benefit dinners

10-Special projects; staff donations

11-Community programs and e-philanthropy (p.71).

As community colleges have become more associated with the business community, and foundations are more integrated into the infrastructure of the community college, the development and fundraising process has taken on a corporate look and feel. As the mission has broadened, so has the repertoire of fundraising strategies. Practices common to four-year colleges and universities are being adapted to the community college:

Annual fund drives planned and deferred giving, capital campaigns, special events, business partnerships, honorariums, memorials, and grants acquisition have all been undertaken. Planned giving programs and the cultivation of business partnerships have recently gained attention (Schuyler & Gwyer, 1997).

Community college foundations have used this association to its advantage by renaming its activities capital campaigns which results in charitable giving by solicited donors. In order for community college foundations to be taken seriously, many of these changes have been worthy marketing tools for brand identification within the philanthropic community. This has resulted in increased donor support (Davis, 2003).

There is a perception that having an active and successful foundation is an essential element in maintaining a superior community college. Part of the criteria in

providing for a first class college is remaining true to the mission of keeping an "open door" (Craft & Guy, 2002).

Having an active foundation is synonymous with excellence and success. (Jenkins & Glass, 1999). As stated by Duffy (1980) if a foundation is to be successful, planning, public relations and communication are necessary (p.67-88). In addition, those colleges that are the most successful in fundraising have two important characteristics in common-a strong marketing program and widespread community support (Keener, Ryan, & Smith, 1991). Foundations that have these characteristics as priorities are much better suited for sustained growth from philanthropic support than those which are not as established and not as active (Lamme, 1995).

In a 1986 article in *The Chronicle of Higher Education*, Bailey reported that as of January in that same year, an estimated 730 community colleges had established foundations, up from 546 in 1978. Given this slow pace of establishment, early fundraising development within community college foundations reflected the characteristics of the five types of organizations described by Robison (1982). According to Robison (1982), these organizations were usually one of the following types:

1. Holding corporations, or passive foundations, whose sole purpose is to receive or manage assets.
2. "Old boy" systems with a social head and several friends that solicit funds but operate the foundation as a personal charity.

3. Actual operating foundations, acting as separate legal entities from the college, managing financial transactions not allowed for public schools.
4. Single purpose foundations, which solicit, disburse, and manage funds for a single cause, such as a library or scholarship fund.
5. Comprehensive mature foundations that include the preceding features and characteristically have ongoing capital campaigns of several years duration (p.75).

Currently, community college foundations reflect more on number five of Robinson's list and have become major fixtures in development and the fundraising landscape. Today, as a result, at least 95% of the community colleges have foundations (van der werf, 1999). According to Babitz, (2003) this should amount to over 1,200 community college foundations that have begun fundraising (p.5).

Originally, community college foundations focused almost exclusively on soliciting contributions toward capital campaigns. Currently, this mission has expanded to include other objectives, such as "friend-raising," involving community leaders in college activities, and enhancing the image and visibility of the college (Anderson & Snyder, 1993). Therefore, development and fundraising can be seen as two distinct entities in a community college foundation.

However, all too often, resource development and private fundraising have been marginally understood, relegated to a back seat, and brought forward only in times of budget crunches and crises (Loessin, Duronio, & Borton, 1986; Townsend, 1996). As more community colleges attempt to diversify their funding base, development needs to

be integrated as a long-term core function to maximize the success of these institutional endeavors (Lorenzo & LeCroy, 1994; Mercer, 1994; R. K. Smith, 1994).

While Worth notes that the term often is used interchangeably with fundraising, development connotes a more sophisticated process of planning in which officers create a list of specific institutional needs, conduct research to find a pool of potential donors, and match the needs of the institution with the interests of the donors. “Only when these initial steps in the development process have been achieved is the institution ready for fundraising, which in its narrowest sense means solicitation or simply asking for gifts” (p. 7).

Institutional advancement may include any combination or all of the following functions: community relations, public relations, media advertising, public sector and government relations, internal and external communication, alumni programs, planning, staff and program development, marketing, use of facilities by community groups, student recruitment, institutional research, special events, public and private grants, contracts, and fundraising (Ryan, 1989; Smith, 1989; 1991; Worth, 1993).

In addition, advancement encompasses multiple disciplines: alumni relations, communications and marketing, and fundraising, as well as advancement services and advancement management (Lippincott, 2004). The existing language and interchangeable use of the terms (development, fundraising, and institutional advancement) reflect the historical, present, and ever-evolving nature of community college resource development (Keener, 1982). As community colleges create and carve out their own identities, one-factor remains, the task of engaging fundraising and development activities has become central to their overall success (Brooks, 2004).

In recent years, foundations have come under scrutiny about whether they are as independent of the college, as they portray. This is of great concern for private foundations as it may affect their ability to raise or spend resources and ensure donor privacy (Roha, 2000).

Roha concludes that strategies should be put into place which distances the foundation from the institution and protecting its standing as a private organization. He suggests that foundations should create an independent board of directors, pay for any office space that is located on the campus or owned by the university, pay foundation employees with foundation resources, retain and pay for independent counsel, voluntarily release information requested by outside organizations, regularly release reports that chronicle the foundation's activities, and create an agreement between the foundation and the institution that clearly defines the relationship between the two organizations and affirms the foundation's independence (p.84).

Few community colleges, however, use the formal, highly structured institutional advancement and fundraising models found in university settings. One reason may be the variance in size of staff, which in educational institutions ranges from a single part-time individual to 200 or more (Brittingham & Pezzullo, 1990).

It is noted prior to the 1990s, many community colleges had grant functions incorporated into other college operations, thus the apparent surge of "stand alone" offices in the nineties (Merisotis & Wolanin, 2000). Such factors are highly descriptive of community colleges given their lack of emphasis on traditional alumni activities, recent establishment, and their part-time or one-person development staffing assignments (Smith, 1993).

Research points to colleges having at least one professional on staff with clerical support, and the staffing varies by the size of the institution, the development budget, the planned functions, and the responsibilities of the staff (Evans, 1993; Kelly, 1998). On the average, full- and part-time clerical staffs were hired 28% of the time in most medium and large colleges, a practice dependent on college size and budget (Worth, 1993). According to Kelly (1998), "apart from a few exceptions related to annual giving - the first full-time staff fundraisers did not appear on the scene until the late 1940s (p. 149).

Lastly, in truth, fundraising is but one component of the broader term, development. Mark Drozdowski, director of corporate, foundation, and government relations at Franklin Pierce College in Rindge, N.H., offers two distinctions:

To many people outside the advancement office, "development" and "fundraising" are synonymous. Casual observers equate the development office with raising money, pure and simple. To some extent, of course, they're right, but such a limited definition of development fails to capture the full measure of what the term implies. The first is a matter of function. Most development offices employ professionals whose jobs do not directly involve raising money. Rather, they provide related services, including prospect research, database management, gift recording and processing, accounting, special-events planning and oversight, and donor relations. Complex development operations will often feature positions dedicated solely to the internal coordination of fundraising across offices and schools; these people may or may not have prospects assigned to them. In short, not everyone who works in "development" raises money (p.31).

Characteristics of Institutional Actors on Annual Giving Campaigns

Institutional actors- faculty, staff, the college president, the chief development officer, the institutional board of directors, the foundation board of directors, and alumni list, all of which should be considered when planning for annual giving campaign success (Worth, 1994) (Glass, Jackson & Luke, 1998) (Simic, 1998). Additionally, “factors” such as politics, organizational culture, environmental culture, follower attribution, and “connectivity” contribute to successful annual giving campaigns (Schuyler, 1997).

History Within Networks

A primary local influence on a foundation can be the existence of a large number of wealthy retired people who have resided in the area for some time. This group of individuals can provide not only significant financial support, but also can comprise a large number of the foundation's board of directors (Jenkins, Glass, 1999).

Political Connections

Those who manage foundations are often politically astute. They maintain close contact with people at the local level and have a common interest in the college (Jenkins & Glass, 1999). Foundations should be more comprehensive organizations by expanding professional staff, developing marketing programs, and adding to community support by increasing the number of members that are not trustees (Keener, Ryan, & Smith, 1991).

Organizational Image

The location of the school is a harbinger of success for the foundation, as the service area must be able to support such an activity. An impoverished service area may

preclude the possibility of an active foundation and restrict fundraising activities to passive endeavors (Jenkins & Glass, 1999).

Community Involvement in Community Colleges

The more the community is involved on the campus of the college the more the tendency to become aligned with the capital campaign. How does the president get involved? How is the campaign planned and implemented? How are Board members involved?

A foundation board of directors dedicated to raising funds for the foundation is essential. A significant plus to the qualifications to be a foundation board member is to have either fundraising, financial, or legal experience (Jenkins & Glass, 1999). There is the suggestion that a foundation board that provides responsible stewardship of its assets, suffers no scandals, and maintains an incorruptible image in the public mind and contributes to the high esteem an organization hopes to enjoy.

In order to justify this support, an environment conducive to ethical decision-making must be developed and maintained with the surrounding community. (Jenkins, Glass, 1999).

Representatives of each of these groups have been involved with the Foundation from early in its history to the present. One result is that the college president, trustees, and foundation directors have been key players in communicating the needs of the college to the community. Recognition of foundation donors and the establishment of people-oriented programs have been the prime motivational conditions that have

fostered community involvement. Because of all of this, community members have a positive opinion of the foundation (Jenkins & Glass, 1999).

Size as a Characteristic

Research points to colleges having at least one professional on staff with clerical support, and the staffing varies by the size of the institution, the development budget, the planned functions, and the responsibilities of the staff (Evans, 1993; Kelly, 1998). On the average, full- and part-time clerical staffs were hired 28% of the time in most medium and large colleges, a practice dependent on college size and budget (Worth, 1993).

Full-time professional positions ranged from one to five, while part-time staff ranged up to seven (Peterson, 1999). In sum, fundraising gets done by a combination of different sized staffs that are dedicated to fundraising; staff who spend part of their time fundraising, and relationships that organizations form with partners who help raise contributions (Brief no. 2, 2004, p.4).

Faculty and College Staff Involvement in Development

Faculty and staff members at community colleges also have proven to be a reliable source of donations. For example, in 1999, workers in the Maricopa district pledged \$1.2 million in their \$12 million fundraising campaign (van der Werf, 1999, p. A42–A43).

Administrative staff, full-time employees, Hispanics, Blacks and Whites, employees who were alumni, those who lived in the college's home city, employees who have ever given previously to the institution, those with higher previous giving totals, employees with higher salaries, and those employed for a greater number of years are

significantly more likely to give (Knight, 2004). "It is crucial that a group demonstrates a self-help attitude before asking for funds," said Rodney Jackson, publisher of *The Black Philanthropy Newsletter*. "You want to show that your own people --faculty, trustees, etc. -- are going to support fundraising efforts before asking others" Morgan, (1997).

When possible, deans and department chairs should be asked to volunteer to become more active in the financial advancement and management of their campus. During times of financial shortages, lack of funding means cause for concern because programs may be cut, and positions may need to be eliminated. Department chairs should become more involved in fundraising programs to secure the size and quality of their faculty or staff in times of financial stress (Miller & Seagreen, 1997).

Chief Development Officer/ Advancement Director and Staff Involvement

Monitoring local, state, and national trends on business and civic issues is a constant function of the foundation CEO. The obligation then is to turn over that information to the college president for action (Wenrich & Reid, 2003). When the foundation CEO knows almost as much about the college as the college president and knows as much or more about the community, then the chances of the college securing gifts through its foundation are infinitely enhanced; the foundation CEO is now in a very proactive role of being a partner with the college president in development (Buechner, F., 1993).

Advancement staff must be seen as consummate professionals and should be integrated fully within the academic setting (Babitz, 2003). Development staff can stay

in closer contact with donors, who are more likely to be on campus and aware of the mission and purpose of the institution (Keener et al., 1991).

The advancement officer must give high priority to board recruitment, orientation, and retention activities; thereby providing the opportunity to engage the talents and interests of each member to the foundation's best advantage (Babitz, 2001). Often found in the background, resource development officers organize the use of team members' valuable time and influence, share fundraising knowledge, and provide information about the college's role in the community and the financial resources that could be tapped in the college's fundraising efforts (Townsend, 1991).

When the resource development professionals are attuned to the trustee board, faculty, students, and programs, fundraising may well be able to build on their strengths or help overcome any weaknesses (Hall, 2002). As Lord (1983) stated, "The senior development officer who does not form close working relationships with the CEO and the trustees won't be able to accomplish very much. This officer has to be able to direct their activities with respect to development" (p. 102).

Role of Development Officer

Development directors can play a number of roles within their position Worth (1993), explains these roles as fundraisers, catalysts, managers, and leaders:

1. Fundraisers are seen as solicitors of gifts who first form strong relationships with potential donors and then inspire them to give. In this role, the Chief Development Officer, (CDO), pays less attention to donor research and managerial issues and more to the development of strong bonds with donors and

alumni. This role is markedly different from that of the catalyst, who organizes development activities but does not play a role in solicitation.

2. Catalysts coordinate and facilitate the development process by “continually reminding, prompting and urging trustees, the president, faculty, and staff of their responsibilities in the major gift area” (p. 20). In some ways, catalysts and managers are similar in that they are removed from the solicitation process.

3. Managers concentrate more on the internal workings of the fundraising machine, ensuring that all components are functioning. Specifically, they attend to special-event planning, donor research, publication development, and resource management.

4. Leaders are probably most distinct in that he or she focuses less on the specifics of development and plays a larger role in long-term institutional planning (p. 20).

Brooks indicates that as leaders, most nonprofit executives devote some of their time (and thus some of their salary) to their organization (Brooks, 2004). Lastly, innovative development officers are publicizing how their institutions are contributing to fundraising efforts.

To support the diverse range of fundraising initiatives, foundation leaders must set standards for integrity, develop clear expectations for roles and responsibilities, and achieve operational effectiveness by broadly distributing fundraising and development goals throughout the organization and personnel (Babitz, 2003).

Grants Administrators

Bauer contends that grant administrators must first determine what the organization's key goals are and then base their evaluation on the grant office's ability to obtain funds that support those goals (Bauer, 1989).

College Board

It also may be wise for individual community-college boards and administrators to become more aggressive in seeking alternative funding sources. This may require establishing new foundations or enhancing those that exist, as well as providing training in fundraising for community-college presidents and other high-level administrators (Kenton, Huba, Schuh & Shelley, 2005). Terry Axlerod, author of *Raising more Money* (2004-2005), points to the following as characteristics of foundation board members when soliciting their help on any given campaign:

1. Let go of any written or unwritten rules you may have about the "right" way for board members to participate in fundraising.
2. Above all, let go of the notion that all board members must ask others for money.
3. Accept the 20-60-20 rule when it comes to fundraising and your board. That is, 20 percent of the board will enjoy being involved in fundraising, 60 percent will be neutral about it, and the remaining 20 percent will want nothing to do with it.
4. Stop thinking that every other nonprofit organization's board members do more fundraising than your board members do. It is irrelevant (and highly improbable, anyway).

5. Recognize that your board members are volunteers who are giving you the gifts of their time and attention. In today's world, those gifts are more precious than money. They are not paid staff nor, in most cases, do they wish to become paid staff.
6. Know that your board members are looking to you to steer the fundraising process and to make requests of them as needed. Do not assume that anyone on your board wakes up each morning worrying about the fundraising needs of your organization.
7. Treat each board member with the care and respect that with which you would treat each major donor or potential major donor. If, over time, you consistently shower your board members with that level of personal attention and respect, many of them will naturally become significant donors.
8. Thank your board members sincerely and promptly for every little thing they do. A quick e-mail or voicemail "thank you" tells them that what they did mattered to you. Whether they have served on your board for ten months or ten years, make certain they know you do not take them for granted.
9. Meet with each board member individually once a year to be sure you understand what interests them most about your organization. Find out why they got involved on your board in the first place and what keeps them involved. When interacting with each board member, keep these interests and self-interests

foremost in your mind. Let go of any expectations or illusions that these will ever change. Do your very best to fulfill these interests.

10. When you meet with each board member, have a list of concrete ideas for how that board member can assist your organization. For example, ask the board member to host an event for your organization (not necessarily a fundraising event-it could be an open house or similar type of event), attend a presentation you or one your colleagues is giving, or invite friends to an event or presentation given by your organization.

Three duties of College Board members are vital to resource development. In addition to establishing the mission and goals of the institution; appointing, evaluating, and terminating the president; raising funds, including private gifts and public appropriations should be on the daily agenda of each individual member (Cohen & Brawer, 1991; Dowdy, 1996).

President's Involvement in Development and Fundraising

The role of “fundraiser” is assuming more importance for most leaders in the community college movement (Wenrich & Reid, 2003). Until recently, university programs that prepare college leaders hardly even mentioned fundraising as a significant role for community college presidents (Katsinas, 2003).

Cook (1997) suggests this change has impacted the office of the presidency in that fundraising experience has become a requisite for those interested in presidential positions. As one source noted, “when governing boards go hunting for presidents, it’s often the candidate’s fundraising rather than academic talents that catch the eye” (p. 74).

Presidents do not have to be technical experts in the field, but they do need to understand basic philanthropic principles and fundraising trends to provide leadership in this area of growing importance (Pray, 1981; Bock & Sullins, 1987; Fisher, 1986; 1989; Fisher & Koch, 1996).

Cook (1997) also notes that fundraising, synonymous with “fund-development”, has become an important measure of presidential success. Citing a number of former presidents and two research studies, Cook argues that past presidents are remembered more for their ability to fundraise than for their ability to improve the quality of the institution (p.79).

Smith (1986) and Vaughn (1989), argue that presidents should develop and articulate an institutional mission, create a climate of support from other institutional actors, serve as an example by personally giving, and plan fundraising strategies.

Successful foundations require long range planning and dedication (Miller, 1991). Examples of these elements of success are presidential leadership, institutional commitment, leadership by the chief development officer (CDO), and trustee participation (Duronio & Loessin 1990).

To work well together, the president and vice president and board must have a relationship characterized by experience in fundraising and development, and understanding of the institution's donors, trust in and loyalty for each other, and a willingness to share both unpleasant and uplifting events (Bornstein, 2000).

People wishing to become community college presidents did not enter the field expecting to raise money (Wenrich & Reid, 2003). Part of the president’s development

of philanthropic acuity is understanding the psychological needs of and rewards for the potential donor. (Buechner, F., 1993, p. 119). Research suggests that donors who are giving major financial support to the college expect to personally engage in conversation with the president about the college's mission and goals (Guy, 2002). Additionally, community colleges have begun to realize that alumni provide a valuable resource for financial support (Machanic, 2002).

According to Smith, 1997, some actions a chief executive can take to help secure major gifts are: 1) take control of the calendar and block off three days a week for the nurturing of major gift donors; 2) make personal calls and send handwritten notes to potential donors; and 3) have regularly scheduled lunches with potential donors (p.79).

Moreover, most boards searching for new presidents are clearly looking for candidates with exposure to and an interest in the art of friend- and fundraising (Zeiss & Paneitz, 2003). Finally, Dr. E. Ann McGee, (2003) president of Seminole Community College in Sanford, Florida, offers her very own personal perspective of how important presidential involvement is in the process of fundraising and development:

It has been said that the president is the living logo for the institution. Nothing could be truer when it comes to fundraising. People with money, power, and influence want to have ready access to the president of the college before, during, and after their contribution. They want to know that they have placed their trust and their funds into the hands of someone whom they respect, who will use their donations to further an institution in which they believe. The rewards are great for those who are willing to ask for support. It is our challenge and our duty (P.45-46).

Alumni Contact and Retention

Student involvement in development is crucial to the making of a great alumnus. Involving students in development activities for the institution while they are still in school enables them to understand the need for funding and develops them into alumni donors (Cockriel & Kellogg, 1994). Craft and Guy (2002) emphasize that alumni and non-alumni play a vital part in raising funds from private sources for educational funding at community colleges (p.29).

Community colleges that have tried to establish alumni programs have worked with groups of graduates from specialized curricula, such as nursing, rather than by class. Outstanding graduates have also been solicited for major gifts, but community colleges have not been able to depend on alumni as a base upon which to build private fundraising campaigns (Keener, Ryan, & Smith, 1991).

Worth indicated that to build longer and productive relationships with former graduates: community colleges may have to recognize that alumni tend to give to those services and organizations that gave them support and training during their tenure at the institution (Worth, 1993). He further illustrates that alumni and other volunteers have connections that the institution may not (Worth & Asp, 1994).

Of course, the relationship you have with a donor or business partner can be influenced by everyone from the physical plant staff to the faculty member to the president (Lippincott, 2004). As commuter institutions, community colleges do not have the cohesive student bodies found at senior public and private colleges and universities. Soliciting donations from alumni and parents has been notably unsuccessful (Catanzaro & Miller, 1994; Lamme, 1955). What Robertson (1981) indicated years ago still appears

to be true today: Graduates seem to be consumers focusing more on what the institution can do for them, rather than what they can do for the institution.

Cultivating Relationships

The best programs encourage alumni to continue to feel attached to their colleges and universities, inspire individuals to make their first gifts, and identify people who might make big gifts in the future (Burdenski, 2003). Development and fundraising officers could further cultivate relationships by integrating alumni into their overall fundraising structure, recognizing the foundation's potential as a vehicle for keeping alumni and friends involved and inspiring current students with stories of alumni successes (Babitz, 2003).

In 1995, alumni provided only 3.3% of the voluntary support for community colleges, contrasted with 10.1% to 23.9% for all types of senior public institutions and 28.9% to 39.8% for all types of senior private institutions (Council for Aid to Education, 1996b). Defining community college alumni and building ongoing relationships with former community college students are difficult propositions. Community college programs are shorter than those at universities, and students often transfer or move on to work before certificates or degrees are obtained (Babitz, 2001).

Relationships with outstanding graduates have resulted in receiving major gifts, but community colleges have not been able to depend on alumni relationships as a base upon which to build private fundraising campaigns (Keener, Ryan, & Smith, 1991). Given these dynamics, traditional university models of alumni relationship development are hard to apply in the community college context (Smith, 1993). Additionally, to build better relationships and increase alumni development, Wallace (2005) suggests:

1. Thanking donors for their gifts and letting them know how their money is being used
2. Keeping donors apprised of relief and rebuilding efforts
3. Sent donors a short booklet that used photographs and first-person accounts to show how the organization's long-term projects were helping people in hard-hit regions recover.
4. A free-standing Web site to report on its work and to follow over time the stories of individuals who have benefited from the charity's projects.
5. Communicating with donors about the aftermath of the disaster - and, it hopes, prompting additional gifts
6. Keeping its donors apprised of its work include creating a brochure (Wallace, 2005).

Craft and Guy (2002) emphasizes that alumni and non-alumni play a vital part in raising funds from private sources for educational funding at community colleges (p.29). These activities should be used to garner philanthropic support and seek alliances from non-alumni as well. "More and more alumni donors prefer specific projects, tangible items and results whose values they can appreciate. Annual giving programs targeted to these kinds of alumni needs are more likely to capture wide acceptance and be successful at building relationships with both first-time and repeat donations" (Greenfield, 1999, p.102).

Community Involvement and Collaborative Partnerships

Community colleges are bonded to the communities they serve in a way no other post-secondary educational institution is (Roueche, Baker, & Rose, 1989; Russell & Wynn, 1996). Their foundations, unlike those at senior institutions, are organizations based in the local community, not statewide or nationally oriented. Private support lies in the ownership the community feels.

Development is confined by the size and mix of the population living in a defined geographical area (Degerstedt, 1985). This unique relationship limits but also gives community colleges an advantage. Development staff can stay in closer contact with donors, who are more likely to be on campus and aware of the mission and purpose of the institution (Keener, et al., 1991). Therefore, the effectiveness of any community college foundation is contingent upon the image of the college in the service area (Schuyler, 1997).

Collaborations with the business community can be solicited by placing emphasis on the beneficial returns to the local community in the form of graduates who are equipped with skills in demand by the workforce (Scott, 1991). Collaborating with communities and local businesses can yield many benefits for community colleges.

Among them are a greater awareness and responsiveness to community needs by supplying a well-trained workforce for local employment demands (Kelly, 2002). Through partnerships, a community college foundation and a company can develop plans of funding that cover the costs of equipment or training students in areas pertinent to that company.

While such collaborations may be developed without the involvement of the community college foundation, the expertise of the fundraising staff along with the benefits of the tax-exempt status make the foundation a valuable participant when companies are looking to improve the lives of young people in the region. (Haire & Dodson-Pennington, 2002).

In their analysis, Haire and Dodson-Pennington argue that the success of the partnership can be attributed to four key elements: a college culture that supports and values broad-based collaboration; long-standing meaningful partnerships; solid resource-development strategies; and well-cultivated creative project ideas (p.68).

Not only will foundations have to expect philanthropic relationships, but as Brenda Babitz (2000) points out so well, the time is upon us to step to the plate and leverage private fundraising. It is our time to truly advance our institutions by taking the next step in strengthening the bond with our constituents (Milliron, de los Santos, & Browning, 2003, p.90).

Collaborations also help build relationships between college and company leaders and those relationships are the key to mutually beneficial agreements. As Peters tells us: ‘Relationships really are all there is’ (1992, p. 91). According to Wharton: “Effective community colleges are those that satisfy, preferably delight, the key stakeholders they serve, which include students, faculty, staff, and the community” (1997, p. 15).

Characteristics of Development and Advancement

Much of the literature suggests that numerous institutional actors significantly affect the success of development and fundraising efforts, including the college president, the chief development officer, and the institutional board of directors, the foundation board of directors, alumni, students, foundation staff and others (Davis, 2003).

Because there are so many people involved in the process of development, community colleges must understand what Ryan (1989) characterized as numerous people involved in the development process. He said, “There are very few people walking down the street who can deliver a million dollars to an institution of higher education”.

These types of profound support for an institution are relationship-based. They involve multiple points of leadership inside and outside of development. They take time to develop (Oliver, 1999). Someone said, “You don’t make a pickle by squirting vinegar on a cucumber.” There is often a lack of understanding and patience [in the community college] about development. This puts an unfortunate pressure on people in development (Sinkus, 2004).

Resource development and private fundraising as a community college function have only been marginally understood and often are only instigated in times of financial crises (Kapraun & Heard, 1993; McLeod, Atwell, & Bedics, 1995). Development was first used in 1924 during the \$10 million University of Chicago Development Campaign (Luck & Tolle, 1978). To many practitioners it has come to be synonymous with

fundraising; but calling for a standardized taxonomy, Worth (1993) distinguished between the two.

While Worth notes that the term often is used interchangeably with fundraising, development connotes a more sophisticated process of planning in which officers create a list of specific institutional needs, conduct research to find a pool of potential donors, and match the needs of the institution with the interests of the donors. “Only when these initial steps in the development process have been achieved is the institution ready for fundraising, which in its narrowest sense means solicitation or simply asking for gifts” (p. 7).

Educational advancement professionals—whether they work in advancement services, alumni relations, communications and marketing, fundraising, or related areas—have the responsibility of building the relationships that enable institutions to generate the gifts and good will necessary to meet the needs of today’s diverse students (Council for Advancement and Support of Education, 2003/2004).

Today, development activities are a continuous process of identifying prospective donors, cultivating their interests, involving the prospective donor in institutional planning through giving, and stewardship of their gifts. Stewardship and annual giving includes the responsible management and gathering of resources and keeping the donor informed and involved (Worth, 1993).

E-Fundraising Technology

E-Philanthropy, short for Electronic Philanthropy, has become a major technological advantage in the development and fundraising process of community college foundations. Organizations want to improve the effectiveness of their web sites,

create better connectivity through wireless networking or Wide Area Networking, and some hold onto the dream of paperlessness giving (Forster, 2003).

E-Philanthropy

Having all of the information about a supporter's donation, activism, and volunteering history in one place will make it easier for charities to coordinate their online and offline activities. It will allow a group to acknowledge a donor's online activism in a direct-mail appeal (Wallace, N. 2004).

According to researchers, community colleges should use standard Internet technology to make Web-based donating as familiar and simple as possible for alumni and donors to ease any concerns about personal identification security. When online fundraising is a major goal, the Web site must be both secure and donor friendly or the organization could risk losing potential donors, and dollars. (*Corporate Philanthropy Report*. 2004).

In recent years, and with the advent of the internet, community college foundations have evolved and integrated more technology among their annual giving fundraising methods. Giving on-line came into its own after September 11, 2001. According to a personal account from Elizabeth Boris at the Urban Institute:

I think one bright spot on the horizon is Internet giving. This was the first disaster where Internet giving really came into its own, and I have a feeling, it's only a hunch, but that we tapped into a different segment of the population. Early research showed that the 20 to 40-year-old males who are often on the computer most were more likely to use that as a vehicle. Besides, the first time we saw an outpouring, I think \$70 million raised over the Internet. Therefore, there may be

some new givers, and the trick will be to encourage them to keep on giving on-line (Boris, 2001).

The internet, and other new technologies, give donors wide philanthropic choices and easier access to those choices. Donors are one click away from changing their allegiance. It is all too easy for them to find another, similar organization that has put more care into its on-line presence (Hart and Johnston, 2002).

In the past 25 years, "fundraising has grown more sophisticated and reached new heights with billion-dollar campaigns planned by specialized staffs equipped with the latest computer technology and multi-million dollar budgets (Cook & Lasher, 1996).

On-Line Asking

Community colleges should look for ways to integrate information about their supporters that they possess but store in different places. Whether they are direct-mail contributors, prospective planned-giving donors, disaster-relief volunteers, or major donors - they can all be asked to donate on-line (Wallace, N. 2004).

According to Hart and Johnston, 2002, the internet, and other new technologies, give community college alumni wide philanthropic choices and easier access to those choices (p.5). Additionally, according to Dr. Kathy Steinberg at The Center on Philanthropy at Indiana University, education fundraising rose 7.0 % from 2003 to 2004. She also predicted statistically significantly more success for the future with corporate gifts and e-mail solicitation (Steinberg, 2004, p.11).

Structure of Community College Foundations as Non-Profits

Nonprofit organizations have played, and will continue to play, vital roles in the areas of education, health and human services, advocacy, and the arts. Their

contributions can hardly be overstated. Although educational institutions are increasingly called upon to deliver various services, their foundations are mandated to uncover donations from individuals, corporations, and the surrounding community, which are critical to the fiscal health of nonprofits or in this case, community colleges. Community college foundations are non-profit entities. In order for annual giving to be successful, carefully developed structures and effective operating procedures must be in place to aid in fulfilling both the mission and purposes of the campaign. According to BoardSource (2002), good governance starts with helping the organization begin on a sound legal and financial footing in compliance with the numerous federal, state, and local requirements affecting nonprofits.

Characteristics of Non-Profits with Tax-Exempt Status

As non-profits, community college foundations are engaged in the process of development and fundraising, and thereby, must adhere to the same rules and regulations as numerous other organizations. Because a non-profit foundation has tax exempt status, contributions of individuals, businesses, and corporations to the foundation are tax deductible, while donations made directly to the college are not (Kopeck, 1982).

In order for donors and alumni to enjoy tax-deductible benefits by contributing to a community college foundation, the institution must have a process in place which these contributions are recognized; not only by the college, but also as a part of an ongoing campaign to build future relations with both alumni and other interested donors (Harvey, 1991). According to Babitz (p.5, 2003), of the more than 1200 community colleges, 95% (van der werf, 1999), should have established foundations with tax-exempt status.

Accountability of Non-Profit Status

Having non-profit status is not enough for the average community college foundation to be assured success. Along with tax-exempt status, a process of accountability as good stewards of taxpayer, alumni, and donor contributions has to be in place. Community colleges, as non-profit institutions, are subject to the same rules and regulations of numerous national and international companies which engage in business practices within the United States. Several of these processes are listed and described below.

Sarbanes-Oxley

The American Competitiveness and Corporate Accountability Act of 2002, commonly known as the Sarbanes-Oxley Act, was signed into law on July 30, 2002. Passed in response to the corporate and accounting scandals of Enron, Arthur Andersen, and others of 2001 and 2002, the law's purpose is to rebuild public trust in America's corporate sector (Boardsource, 2002).

July 30, 2002 was a pivotal year in the life of American publicly traded companies. This Act changed the way these companies and non-profits carry out their business while remaining accountable to their shareholders. Many organizations want to be ahead of the game and are already analyzing their own ways of improving their financial accountability (Michaelson, 2003).

Guide Star

Guide Star is a nonprofit organization dedicated to promoting transparency and accountability in the nonprofit sector. Guide Star provides institutions, corporations, governments, nonprofits, and individuals with the information necessary to research,

‘understand, and make informed decisions in philanthropy.’ Guide Star’s mission is to modernize philanthropy through greater accessibility of information on nonprofit practices and activities.

Guide Star’s database is the nation’s most comprehensive source of data about U.S. nonprofits the Internal Revenue Service has declared tax exempt under Section 501(c) of the U.S. Tax Code. Most watchdog groups list a few hundred organizations, and state charity officials and nonprofit associations focus on the organizations in their respective states and regions. In contrast, the Guide Star database contains information about every public charity, private foundation, and other 501(c) organization registered with the IRS, more than 1.5 million nonprofits in all.

The database contains multiple years’ worth of information on each of the more than 300,000 organizations that file a Form 990 or 990-EZ, and of 70,000 private foundations with a certain asset size or substantial grant activity. Additionally, Guide Star hosts a total of 2,189,932 images of these IRS forms.

In 2000, Guide Star began serving institutions with products and services beyond the information they offer through their Web site. Licenses and subscriptions enable nonprofits and other businesses serving the sector to use their research and technical expertise to do their jobs faster and more easily. Guide Star Premium is a newly developed service that provides ease and flexibility in navigating the extensive nonprofit information available in the database.

Over the past decade, Guide Star has become the primary on-line public research tool for the nonprofit sector. Today more than 460,000 users per month go to www.guidestar.org. Nonprofit organizations employ nearly 10% of all workers, manage

trillions of dollars in assets, and have a huge impact on American society, providing many critical health, educational, and social services.

As Guide Star usage continues to grow, they remain focused on their vision of connecting people and organizations with valuable information they need to improve the world around them.

Tax Form 990

Forms 990, 990-EZ, and 990-PF are information returns or reporting forms. The organizations that file these forms do not pay federal tax on income related to their exempt purposes and programs, although many private foundations do pay an excise tax based on their investment income. Some nonprofits have additional income not related to their exempt purpose; this unrelated business income is reported on Form 990-T. Organizations are not required to make Form 990-T available for public inspection. All nonprofits must file a 990.

Examples of Annual Giving Activities within Community College Foundations

Annual giving programs abound within community college foundations and have become a major avenue of financial support to numerous yearly activities from student programs to building expansion. Educational institutions have come to realize how vitally important community, corporate and staff support is when it comes to fulfilling their institutional needs. A number of annual giving examples are cited below as important community activities.

The Jack Kent Cooke Foundation

Based in Northern Virginia, The Jack Kent Cooke Foundation, is now giving \$1.4 million in annual scholarships to hardworking, high-achieving community-college

students. The annual giving program, established in 2001, had initially recognized both two-year and four-year matriculates. It was refocused this year, however, in recognition of the talent and the widespread financial need among two-year college graduates, according to Dr. Peter Mackey, a spokesman for the foundation (Manzo, 2004).

Hudson Valley Community College

The Annual Brick Campaign invited the support of community, alumni, staff and other friends of Hudson Valley Community to buy a brick on the “President’s Patio.” Their goal was to create a patio that ultimately was extended into a walkway encircling the east wing of the building. Proceeds of the project benefited the college’s Foundation. Individuals were encouraged to purchase a brick for themselves, their business or as a gift. The college’s beautiful brick patio was located outside the Guenther Enrollment Services Center with a special dedication ceremony. The engraved bricks became an integral part of a permanent testament to the strength, and ongoing dedication of excellence in education for years to come (Community College Week, 2005).

Delaware County Community College

The Annual Fund is a major component of the Alumni Program and vital to DCCC. In addition to scholarships, alumni have generously supported DCCC’s Library, New Building and Chester County Capital Campaigns. Phi Theta Kappa alumni successfully raised over \$5,000 in an unprecedented Alumni Challenge Campaign to double the Honor Society’s newly endowed scholarship fund to \$10,000. Alumni contributing to the Annual Fund demonstrated a strong commitment to “giving back” to the institution that gave so much to them. Annual Gifts designated for scholarship made it possible for the Alumni Association to assist over 40 students since it’s incorporation

in 1979. Today, the Alumni Legacy Scholarship brings alumni giving full circle (Delaware County Community College, 2004).

Fundraising Award-winner: Monroe Community College

Brenda Babitz, Foundation president and college chief development officer at Monroe Community College (Rochester, NY), reports the school's annual fund is up a remarkable 36% over the previous year, despite the recession. In fact, says Babitz, she actually used the tough economy in her "connect-the-dots" appeal to the private sector.

The biggest difference between public and private school fundraising, she says, is that faculty and staff at private institutions know how to be a part of the initiative—they've been doing it longer. "My hardest job has been to get the internal audience—both faculty and staff—to work with us." Her office has created internal fundraising events like the annual Gold Star Dinner, now a four-year-old event. At the Dinner, faculty skills such as French lessons, Web page development, even fly-fishing lessons, are auctioned off to 250 members of the community.

MCC's annual fund ranks first in parent giving among the nation's nearly 1,300 community colleges. Babitz believes it's the school's "personalized" strategy that makes the difference: MCC uses a telemarketing firm that hires the school's own students to ask parents for contributions. Instead of commercial telemarketers on other end of the line, parents are engaged in conversations with students (just like their own sons or daughters) who need support in order to get a quality education. The campaign targets only parents with a predetermined income level. (Rivard, 2002).

The St. Francis College Community Annual Giving Program

As St. Francis College continually strives to promote the success of its annual fund, both alumni and friends of the college have provided over \$2.5 million annually since 2003. The annual fund campaign runs each year from July 1 to June 30. The Class of 1938 endowed a full scholarship on the celebration of its 50th anniversary.

Since Dr. Macchiarola, President of St. Francis, took office in 1996 many alumni and friends of the College have come forward to support the Scholarship Campaign. The total dollar amount needed to reach his initial goal was an impressive \$2.25 million.

In Fund Year 2001-2002 more than \$520,000 was contributed to endowed scholarships at St. Francis College – over \$100,000 more than last year. Aggressive telephone solicitation, personalized mailings, mass e-mailings, and personal mail writing solicitation led to this success. Alumni generously supported sports at St. Francis College in 2003 by designating over \$20,000 in contributions to athletics.

At this time, 61 scholarships have been fully funded and awarded. Since July 1, 1996 over \$5.5 million has been raised to support future student scholarship needs (St. Francis College, 2004).

Foundation Honors Women's Club Federation for 50 Years of Support

Formed in 1921, the Westchester County Federation of Women's Clubs is an organization of 26 community-based clubs throughout Westchester and Putnam and has 4000 members. While individual clubs donate money to various charities in their towns and districts, the Federation as a whole makes an annual contribution to just one cause - the Westchester Community College Foundation's scholarship fund. The Federation's

annual gift of \$4,000 supports four student scholarships each year. These scholarships are designated for female students in challenging circumstances.

The Federation began its association with the college back in 1954 when it recognized the new institution as a place where higher education was available to people with limited financial resources. Concerned about high unemployment and the problems faced by women wishing to return to the workforce, the Federation began contributing \$500 each year to pay the tuition of one female student at the college.

Since that first gift in 1954, the Westchester Federation of Women's Clubs has donated approximately \$95,000 to Westchester Community College, providing scholarships for 126 students. According to Shirley Contino-Phillips, the Foundation's Executive Director, "this is the most continuous scholarship support the college has ever received"(Westchester Community College, 2004).

Virginia Western Community College

Employee Annual Giving Campaign "It Begins With Us"

The Virginia Western Educational Foundation launched the College's first Annual Giving Campaign. The Foundation reached out to the college's leadership; to area businesses, corporations and individuals; and to the college's employees.

Employees made donations using cash, check, credit card, or using the easiest way, payroll deduction. For example, if an employee contributes \$3.00 every pay period from September 16 through June 30 that gift will be up to \$57.00. Some employees gave \$5.00 every pay period, which added up to \$95.00.

Regardless of what they gave, it was important that all employees participated. As an added incentive and in appreciation for participation, there were weekly drawings

for prizes and a celebratory event with prizes at the campaign's conclusion. The Foundation also received a \$1,000 gift from a faculty member who wished to remain anonymous challenging employees to match this donation (Virginia Western Community College, 2005).

The Victoria College

The Victoria College foundation's sixth "Tradition of Excellence" annual giving campaign held November 1, 2003, through March 31, 2004, raised a total of \$126,006.50. Designated gifts totaled \$70,185, and from that total, \$41,500 was restricted to endowed scholarships. The unrestricted donations were allocated as follows: The Victoria College Foundation Scholarship and endowed scholarships, \$27,000; \$20,000 to Faculty and Staff Development.

Over the past six years, the Tradition of Excellence campaign has funded nearly \$500,000 in scholarships and endowed scholarships, providing \$70,000 for Faculty and Staff Development; \$32,000 for program development and over \$60,000 for other college initiatives. The upcoming 2004-2005 campaign will continue to secure a solid scholarship foundation for students who attend Victoria College (The Victoria College, 2005).

Bishop State Community College- Mobile, Alabama

Commemorative Brick Legacy Heritage Wall

In 1981, Bishop State Community College President Dr. Yvonne Kennedy developed The Office of Alumni Affairs, which developed an Annual Giving Drive- *The Commemorative Brick Legacy Heritage Wall*. The annual campaign has helped Bishop to attract alumni to the legacy of the historic Central High School. Alumni, friends of

Bishop and staff can purchase a brick for \$100 and includes, in addition to the inscribed brick, a framed replica of their place in history.

As a brief description, *The Commemorative Brick Legacy Heritage Wall* contains inscribed memorial brick pavers of Central and Bishop State alumni and supporters. The 4 x 8 x 1½ inch brick bears the name of the graduate and year of graduation, or other possible inscriptions. The annual dedication of the new bricks for the Heritage Wall is held during the very enriching and joy-filled Central Weekend, held the weekend before Thanksgiving Day. This event draws Bishop Alumni from all over the world (Bishop State Community College, 2004).

Scholarship Funds Soar with Gala Success

Friends of the North Harris Montgomery Community College District (NHMCCD) foundation raised more than \$200,000 for student scholarships; the organizations annual Star Gala an elegant evening featuring food, auctions, and dancing. The proceeds benefit student scholarships at the district's five colleges. "The great success shows that our community is behind us in our quest to provide scholarships for the students who need them. With tuition and fees at our schools less than \$400 for a 12-credit- hour semester, this money can go a long way in helping students succeed." (?)

The Star Gala is one of two major annual fundraising events for the NHMCCD Foundation. The second is the district-wide golf tournament. Through an annual golf tournament, annual gala and generous donations by individuals, corporations, businesses and foundations, the Foundation is able to grant numerous scholarships annually to students at all of our colleges and centers (North Harris Montgomery Community College District Foundation, 2002).

Southwestern College Foundation Annual Garden of Giving Campaign

The “Garden of Giving” is a nature trail that winds its way through the walkways of the Campus. Unique trees and shrubs along the trail have been selected to receive identification in the form of an elegant bronze plaque. With a donation of \$1,000, individuals can personalize the plaque of one of the trees or shrubs along the walkway in recognition of friends or family.

The Annual Fund was developed to generate funds to help fulfill Southwestern College’s needs. This fund allows the Foundation the flexibility of being responsive to the changing needs and demands of the college and its community. Some examples of activities supported by the Annual Fund include student scholarships, the Guest Writers Series, Psychology Honor Society, Student Outreach, Professional Development, and participation in local community events.

The Garden of Giving endowment campaign was designed to benefit students of the School of Mathematics, Science and Engineering (MSE) in the following areas: Biology and Biotechnology; Engineering; Horticulture; Mathematics and Computer Science; and Physical Science (Southwestern College, 2005).

Annual Giving as the Foundation for all Successful Campaigns

Annual giving is the basic and central element of development programs in school, colleges and universities; so much so it may be taken for granted. The annual fund is with us year after year. It is central to the development fund: it may not generate the most money. It may not be the most cost-efficient form of fundraising. It will probably not provide the resources needed to build the newest campus building or

cathedral, but it is the foundation on which the development program is build (Gee, 1990).

Additionally, (Worth, 2002) advocated that annual giving is the starting point for successful fundraising campaigns. Every good development effort starts with a well-planned and carefully managed annual fund [giving]. Major gifts and planned gifts rest on this all-important fundraising platform. The level of sophistication varies with different schools, but the principles remain the same. While yielding dependable yearly support, the annual fund provides a ready means of identifying and cultivating donors and a way for staff to learn how to work with volunteers on a specific task in a defined period of time.

Lessons learned in the annual fund and knowledge gained about various donors should contribute directly to the major and planned giving program, as well as to campaigns. Annual fund programs include alumni, parents, past parents, grandparents, and friends, but the degree of support from each has tended to depend on the type of school (Worth, 2002, p.239).

Annual gifts usually are made from donors' income, whereas outright major gifts are made from donors' income and assets, and planned major gifts typically come only from donors' assets. As operational expenses are reoccurring, the annual giving program is repeated each year, unlike the major gifts program and planned giving, which are ongoing, and capital campaigns, which are sporadic (Burdenski, 2003).

Cook (1994b) used a baseball analogy to describe annual giving campaigns in relation to other programs: "A base hit might be an annual gift, a home run might be a capital or major gift, and a grand slam might be an ultimate gift" (p. 14). He elaborated

by quoting a CEO, who said, "It's the home run that wins the game, unfortunately. But you've got to have the singles, too, and you've got to move the runner over, and sometimes it's the single you hit today that's the home run 5 or 10 years from now" (p. 15).

Therefore, the purpose of the annual giving program is to provide funds for the operation of the organization. Gifts represent annual income used to pay annual operating expenses (i.e., they are spent the same year they are received). As the expenses are reoccurring, the program is repeated each year, unlike the major gifts program and planned giving, which are ongoing and capital campaigns, which are sporadic.

An overriding objective of the annual giving program, therefore, is to engender repetitive giving behavior. The program usually is run according to the calendar year, which also is the tax year. Fund raisers at educational institutions adhere to the academic year, fall to summer, although some have switched on the assumption that most donors think of their gifts within a tax year framework.

Greenfield (1991) emphasized that timing of requests has to make sense: "Donors are not likely to respond to arbitrary schedules invented by nonprofit organizations" (p. 58) Adding further definitional clarification, gifts to annual giving programs usually are made from donors' income. They average about \$50, although some types of organizations solicit and receive annual gifts averaging \$250 or more (e.g., museums and symphony orchestras).

Gifts traditionally have been unrestricted on purpose. The time between solicitation and receipt is less than one year. However, because of the ongoing need for support, annual giving campaigns help to maintain the overall identity of the institution, build relationships with the external community, and aid in building collaborative partnerships which further sustain the goals and missions of the college (Worth, 1993). Finally, annual gifts—one would think from their name—are made once a year.

Annual Giving Strategies

In all annual funds, various approaches are used to solicit gifts: letters, telephones (phonathons), and—the most effective method—personal visits (Worth, 2002, p. 240). As Brenda Babitz, (2003) suggests, college foundations should incorporate a number of strategies and activities to ensure effective fundraising (p.10). As an example, outlined below are strategies derived from the experiences of the Monroe Community College (MCC) Foundation in Rochester, New York:

Annual Fund-The annual fund can be counted on to help support immediate as well as long-term needs. Direct mail, telemarketing, and personal solicitations are all effective ways to reach out to friends of the college, many of whom can be counted on for gifts of \$500, \$1,000, or more each year.

Special Events- While time consuming in their preparation, special events advance positive perceptions of the college and are useful for friendraising as well as fundraising. Events that involve or honor prominent figures from the worlds of business, politics, and entertainment tend to draw the most interest within a community.

Community-wide programs-that include award ceremonies work well to validate the college's educational purposes. Golf tournaments can be used to cultivate new friends for the college while raising needed scholarship funds.

Dinner auctions-featuring wine tasting and gourmet food are used by community colleges to raise money for scholarships. These types of events may feature silent and live auction segments that draw on the skills of the institutional family. Faculty and staff may be eager to donate their services or expertise as an auction item—such as private French lessons or fly-fishing with the president.

Focused Initiatives-Foundation support of specific academic and campus-life projects, establishing chairs in specific disciplines, or developing a groundbreaking program that draws in expertise from beyond the college campus may provide that added incentive for donors and volunteers to become involved.

Capital Campaign-Capital campaign initiatives must strive for a higher goal than other ongoing fundraising activities yet complement them as well. Campaigns provide an additional option for people to donate to the college foundation and become involved in securing the college's future.

Planned Gifts-Planned giving, or charitable gift planning, refers to the process of making a charitable gift of estate assets that requires consideration and planning in light of the donor's overall estate plan.

Alumni Giving-New paradigms are being created by community colleges that encourage alumni involvement: Welcome alumni representation on the foundation board, honor those alumni who have achieved personal and professional excellence by nominating them to an alumni Hall of Fame,

recognize new alumni during commencement exercises and ask them to immediately give back through service to the college and to participate in a welcoming program for the next class of new students.

Donor Stewardship-Donor stewardship initiatives work to build and reinforce loyalty through recognition activities; the awarding of philanthropic medals; prominently displayed donor recognition boards; and named endowments, teaching chairs, and new facilities.

Organizational Communications-An ongoing communications program helps to keep donors and volunteers informed and connected with the foundation and the community college. It should incorporate the college's overall growth strategies and be tailored to individual constituencies. Annual fund letters and brochures, campaign materials, presentations, newsletters, videos, and annual reports should all tell the college story.

Management-An accountable framework for success is important. College leadership must recruit and invest in highly capable foundation staff. A comprehensive manual of policies and procedures must be developed to assist in decision making and work flow. Central to the entire management process is a well-managed information system with accurate record keeping and timely gift acknowledgments.

Marketing and Resource Development-No matter how sophisticated the fundraising strategy or investment policy, the effectiveness of the community college foundation is contingent on the institutional image

(Monroe Community College Foundation, 2005).

Annual giving is a way for alumni, businesses, and friends of the college to help ensure that students continue to receive the highest quality education at community colleges. Gifts to the Annual Giving Campaign may be supported by numerous activities:

- Annual Fundraising
- Direct Mail
- Brick Building Campaigns
- Alumni License Plate Campaigns
- Telemarketing Campaigns
- International Travel Packages
- Local Travel Tours
- Personal Letter Writing Solicitation
- Persuasive Letter Writing
- Workshop Naming
- Phonathons
- Opening Nite for College Theatre Presentations
- Reunion Giving
- Matching Gift Programs
- Alumni Challenges
- Young Alumni Programs
- College Program Challenges
- Evaluation Techniques
- Volunteer Recruitment
- Training and Management
- Faculty Staff Campaigns
- Additional annual giving activities
- Invitational Golf Tournaments
- Fan Mats Door Mats
- Bake Sales
- Annual Gala
- Employee Payroll Deduction
- Theater Seat Naming
- Building Naming Etc.
- Entrepreneurial Fundraising
- National charities such as March of Dimes

Additionally, Annual Giving campaigns may provide needed funds for various activities. Below is a short list:

1. State-of-the-art technologies
2. Faculty/staff development opportunities

3. Expand community outreach programs
4. Scholarships
5. Instructional equipment
6. Services for students with disabilities
7. Program advancement
8. Faculty and staff development
9. College priority needs
10. Diversity efforts
11. Student leadership
12. long-term investment for the college (i.e., Student Endowments)
13. Cultural Events
14. Leadership Programs
15. Library and Computer Technology
16. Athletics
17. Campus Facilities
18. Women's Studies
19. Unrestricted scholarships
20. Up-grading student and tutor
21. Indigenous Educational Initiatives
22. Resources for Teaching and Learning
23. Scholarship Endowments
24. Scholarships for Students coming from overseas
25. Teaching Endowments
26. General Endowment
27. Theology
28. Music
29. Classroom equipment

Annual giving campaigns also include characteristics of giving circles. Giving circles are a way to recognize individuals, corporations and community leaders who are instrumental in the advancement of foundations within their areas or community. A consistent characteristic of giving circles can be found in the arrangement and levels of recognition. While each level of giving is designed to either recognize the donor and associate them with a part of the institution; giving circles also recognize a given donor and their levels of donation. Dove (2001) describes giving circles similar to those listed below:

<p><u>Founder's Circle</u> <u>Benefits include:</u> Trustee's Circle plus a private reception with all College Board Members and President</p>	<p>Gifts of \$10,000 or more</p>
<p><u>Trustee's Circle</u> <u>Benefits include:</u> s Alumni Circle plus complimentary tickets to selected college events</p>	<p>Gifts of \$5,000 - \$9,999</p>
<p><u>Alumni Circle</u> <u>Benefits include:</u> honored guests at the President's Dinner, listings in the Honor Roll of Donors published annually, and a donor recognition reception in a wine country home</p>	<p>Gifts of \$1,000 - \$4,999</p>
<p><u>President's Circle</u> <u>Benefits include:</u> listings in the Honor Roll of Donors published annually</p>	<p>Gifts of \$500 - \$999</p>
<p><u>Director's Circle</u> <u>Benefits include:</u> Donor recognition reception in a wine country home and listings in college publications</p>	<p>Gifts of \$200-\$499</p>
<p><u>Faculty & Staff Circle</u> <u>Benefits include:</u> listings in college publications and New Graduates Luncheon</p>	<p>Gifts of \$100-\$199</p>
<p><u>New Graduates Circle</u> <u>Benefits include:</u> Invitation to New Graduates luncheon</p>	<p>Gifts of \$50-\$99</p>

An illustration of a giving circle which is incorporated when annual giving events are planned can be found at Forsyth Technical Community College in Winston Salem North Carolina. This sample includes:

Annual Fund Giving Circle

President's Club	\$10,000 and above
Pinnacle Club	\$5,000 - \$9,999
Guardian	\$1,000 - \$4,999
Scholar	\$ 500 - \$ 999
Leader	\$ 250 - \$ 499
Champion	\$ 100 - \$ 249
Friend	\$ 50 - \$ 99
Blue & White Society	\$ 25 - \$ 49
Tech Tiger	\$ 1 - \$ 24
Other	Any amount you prefer
I Support Forsyth Tech Monthly (ISFTM) Club	Support Forsyth Tech with a monthly donation (min. of \$12 required).

1999-2002 Forsyth Technical Community College.

When organizations realize that traditional sources of income (government funds, foundation grants, corporate support, fees, etc.) are drying up, they sometimes try to start different kinds of development programs at once or in quick succession — an annual operating campaign, fundraising for special projects, a capital campaign, endowment building, a membership program, and numerous special events. That's a mistake. Organizations need to cultivate prospective donors through continuous annual-giving programs, increased planned-giving options, and carefully timed capital campaigns — and those efforts must be staged over months and years (Newman, 2005).

This review of literature provided an historical context and current theories by which we might examine fundraising in community colleges. Chapter Three begins with an overview of why quantitative research was used as a method of research in the study.

Chapter Four will present all findings and the final analysis and conclusions will be presented in Chapter Five.

CHAPTER THREE - METHODOLOGY

Introduction to the Methodology

This chapter provides the methodology used in this study. A discussion of both qualitative and quantitative research as a method, research questions, the design of the study, descriptions of the subjects, the procedure, the method used for analyzing the study, a discussion of trustworthiness, and limitations of the methodology used in the study will be discussed.

Qualitative Research as a Method

In order for qualitative research to be effective, the researcher must interact with the subject of study in the subject's environment, thereby allowing the researcher to observe and gather needed data by becoming a participant. This study observed participants in everyday settings to gain a better sense of what, how, why, and when they perform given tasks as a means to overall achievement. Qualitative information was gathered with attempts to become an *issue insider*, using methods that are more exploratory in nature, and that allow revelations of individual, and sometimes new, experiences and perspectives (Stainback & Stainback, 1988).

Qualitative research uses a naturalistic approach that seeks to understand phenomena in context-specific settings (Patton, 1990). For example, both Patton (1990) and Guba (1978) state, in the same words, that "naturalistic inquiry is always a matter of degree" of the extent to which the researcher influences responses and imposes categories on the data. The more "pure" the naturalistic inquiry, the less reduction of data into categories. Eisner points out that all knowledge, including that gained through

quantitative research, is referenced in qualities, and that there are many ways to represent our understanding of the world (Eisner, 1991, p. 30-31).

Before conducting a qualitative study, a researcher must do three things. First he must adopt the stance suggested by the characteristics of the naturalist paradigm. Second, the researcher must develop the level of skill appropriate for a human instrument, or the vehicle through which data will be collected and interpreted.

Finally, the researcher must prepare a research design that utilizes accepted strategies for naturalistic inquiry (Lincoln & Guba, 1985). However, Smith and Heshusius (1986) claim that naturalistic research can offer only an "interpretation of the interpretations of others," and that to assume an independent reality is "unacceptable" for the qualitative researcher (p. 9).

The research was conducted using qualitative methodology as the most effective method for investigation based on the work of Guba and Lincoln (1996). "Qualitative research is an effort to understand situations in their uniqueness as part of a particular context and the interactions there" (Patton 1985, p. 1). Specifically, a literature review was used as an initial inquiry to determine existing research and literature on the subject; expand the avenues for future inquiry; and to serve as a basis for developing research for the writer's dissertation.

A literature review was selected as the most appropriate process for initial investigation into existing work in the subject area (Patton 1997; Merriam 2002). The review of literature also served to "ground" the process of qualitative research. By basing research on grounded theory, the researcher is more attentive when revealing sequences are uncovered (Patton, 1997).

Several writers have identified what they consider to be the pertinent characteristics of qualitative or naturalistic research. The list that follows includes short descriptions of their definitions:

- 1- Qualitative research seeks to use the natural settings as the source of the data. The researcher attempts to describe, observe, and interpret settings as they are, maintaining what Patton calls an “empathic neutrality” (1990), p.55).
- 2- The researcher acts as the “human instrument” of data collection.
- 3- Qualitative research reports are descriptive, incorporating expressive language and the "presence of voice in the text" (Eisner, 1991, p. 36).
- 4- Qualitative research has an interpretive character, aimed at discovering the meaning events have for the individuals who experience them, and the interpretations of those meanings by the researcher.
- 5- Qualitative researchers pay attention to the idiosyncratic as well as the pervasive, seeking the uniqueness of each case.
- 6- Qualitative research has an emergent (as opposed to predetermined) design, and researchers focus on this emerging process as well as the outcomes or product of the research (Johnson, 1995).
- 7- Qualitative research is judged using special criteria for trustworthiness (these will be discussed in some detail in a later section).

Qualitative studies typically employ multiple forms of evidence.... [and] there is no statistical test of significance to determine if results ‘count’" (Eisner, 1991, p. 39).

Therefore, because the researcher seeks to observe and interpret meanings in context, it is neither possible nor appropriate to finalize research strategies before data collection has begun (Patton, 1990).

Multi-Case Studies as a Method of Research

A multi-site, case study design was chosen to address the research questions. Case studies are used to compile comprehensive, systematic, and in-depth information related to a single, bounded unit of analysis (Patton, 1990). A multi-site case study seeks to describe and understand similar case studies in order to compare and contrast findings across the cases, thereby increasing confidence in the overall findings and conclusions.

Findings that emerge across cases are enhanced in precision, stability and validity (Miles & Huberman, 1994). Information-rich cases are those from which one can learn a great deal about issues of central importance to the purpose of the research...” (Patton, 1990, p. 169).

Creswell (1998) defines “case study” as an exploration of a “bounded system or a case over time through detailed, in-depth analysis collection involving multiple sources of information rich in context” (p. 61). Creswell (1998) refers to it as a bounded system because it is bounded by time and place and involves a specific unit of analysis, which may involve a program, an event, an activity or individuals.

According to Creswell (1998), the multiple sources of information used in case studies include observations, interviews, audio-visual material, documents and reports. According to Yin (2003), case study research is the preferred strategy when a “how” or “why” question is being asked in the context of the study.

Case studies employ a variety of data collection procedures. Yin (2003) outlines several sources of information for the collection of data: (1) documentation; (2) archival records; (3) interviews; (4) direct observation; (5) participant observation; and (6) physical artifacts. All of these various methods and sources will be employed for the purpose of collecting data for this study.

Research Questions of the Study

Qualitative research proposals should, however, specify primary questions to be explored and plans for data collection strategies (Eisner, 1991).

1. What are the necessary “inputs” financial, structural, organizational, and operational of a successful community college annual fundraising program?
2. What are the indicators (outputs) of a successful community college annual fundraising program?

Reasons Participant Observation Methods Fit This Study

Participant observation is a straightforward way for the researcher to study technique: it is a way for the researcher to immerse him/herself into the subject of study to gain understanding more deeply than could be obtained by simply a survey or questionnaire process.

A good part of what makes up the method of participant observation, both the collection of data and the analysis, is difficult because this is a method which *control* by the research situation is less in the hands of the investigator (DeWalt, DeWalt, 2002; Fetterman, 1998).

In participant observation the researcher shares as intimately as possible in the life and activities of the people in the observed setting. The purpose of such participation is to develop an insider's view of what is happening. This means that the researcher not only sees what is happening but "feels" what it is like to be part of the group (Fetterman, 1998).

For anthropologists and social scientists, participant observation is the method in which a researcher takes part in the daily activities, rituals, interactions, and events of a group of people as one of the means of learning the explicit and tacit aspects of their life routines and their culture (DeWalt, DeWalt, Billie, 2002).

Participant observation, characterized by the long-term intense interaction with relatively small groups of people, may allow the ethnographer to dig deeply into complexities and subtleties of a community's social life (Monaghan and Just, 2000). Participant observation is the foundation of ethnographic research design, and supports and complements the other types of data collection commonly used in most ethnographic studies (Hader, Linderman, 1933).

The phenomenological approach to participant observation emphasizes inter-subjective understanding and empathy. Bruyn (1966) outlined four elements in this approach:

1-Awareness of time: Record the temporal phases of research according to the sequence of experience of the observer in relation to the milieu (ex., newcomer, provisional member, categorical member, personalized rapport,

and imminent migrant -- that is, as the researcher is about to leave the community).

2-Awareness of the physical environment: Record the relations of people to their physical environment as they perceive it, not as the researcher conceptualizes or even experiences it.

3-Awareness of contrasting experiences: Record the experiences of people under contrasting social circumstances; meanings cannot be assessed under one set of circumstances because they are relative to the setting.

4-Awareness of social openings and barriers: Record the changes in meaning as the participant observer is admitted into narrower social regions, transitioning from stranger to member to insider. Determining vocabulary concepts is a major focus of participant observation, seeking to illuminate the inter-subjective meanings of critical terms.

In general, in the phenomenological approach, the participant observer seeks out the meaning of the experiences of the group being studied from each of the many different perspectives within it.

The empirical approach to participant observation emphasizes participation as an opportunity for in-depth systematic study of a particular group or activity. Zelditch (1962) outlined three elements of this approach:

1-Enumeration of frequencies of various categories of observed behavior, as in interaction analysis. Often there is an explicit schedule of observation

geared to hypotheses framed in advance of participation. As Reiss (1971) observes, participation may lead to alteration of hypotheses and observation schedules, the attempt to observe systematically is ongoing.

2-*Informant interviewing* to establish social rules and statuses. There may be systematic sampling of informants to be interviewed, content analysis of documents encountered, and even recording of observations in structured question-and-answer format.

3-*Participation* to observe and detail illustrative incidents.

Where the phenomenological approach emphasizes the participant observer experiencing meanings through empathy, the empirical approach emphasizes systematic observation and recording of the milieu. This distinction is, of course, more a matter of emphasis than a dichotomy.

Design of the Study

The design of the study is multifaceted. First, the research was conducted as an opportunity to contrast and compare the expected away from “the known” or grounded expectations which were shaped from the literature review. In this study the researcher has decided to use interviews as a method to understand this phenomenon.

The Texas Gulf Coast Consortium consists of ten community colleges: Lone Star Community College, Houston Community College, San Jacinto College District, Galveston College, Lee College, Wharton County Junior College, Alvin Community College, Brazosport College, College of the Mainland, and Blinn College.

Five colleges in the consortium were utilized in this study. This choice is based on availability, accessibility and convenience. After getting permission or being granted access to their campuses, the researcher proceeded to use a conversational tone with contacts within their settings; seeking to gain information from meeting notes, agendas and or by getting involved in the environmental activities.

When there was opportunity to sit with each participant in the setting, the researcher set a conversational tone. The participants involved in the study included students, the foundation director, foundation staff, the college president, faculty, and college staff. The researcher was available in each of the college settings. Because of the close proximity and ease of schedule, the researcher can was available to conduct this study in the fall of 2007 and the spring of 2008.

Purpose of the Study

The overall purpose of this study is to gauge to what extent community colleges in the Texas Gulf Consortium are incorporating annual giving activities within their daily activities to reach their stated fundraising and development goals. Development and fundraising are activities primarily directed at building relationships and networks within a community, school, social club and or state to foster goodwill while seeking to build support for, in the case of community colleges, student access without financial barriers.

Additionally, community college foundations seek funds through major campaigns for renovations, staff development, professorships, scholarships, technology, endowment, expansion projects, workforce program enhancement, academic program

enhancement, administrative support and lastly, for the sole purpose of supporting education and research.

Development and fundraising offices across the country, along with foundation directors are always looking for that elusive piece of the “puzzle”- grant, donor, or mega endowment-which will aid in sustaining their goals. Foundations already have a number of “weapons”, or practices in their arsenals and at the ready. However, due to factors such as politics, personality conflicts, time, schedule, personnel, organizational culture, organizational climate, and leadership interest, many of these practices are never activated as tools to assist with goal attainment.

Humans

Although the human instrument presents numerous advantages for naturalistic inquiry, the researcher must ensure that he or she considers, contends with, and reports possible biases (Patton, 1990). This is accomplished in a number of ways. First, the position of the researcher must remain neutral throughout the investigation. Second, the researcher’s preconceived notions must not argue the research findings to validate a particular bias. The researcher must accept the multiple realities of the environment being observed, regardless of the data outcome (Schram, 2003).

Description of Subjects

The original plans were for the researcher to interview at least five different individuals at each college. In this study, the researcher came in contact with a number of subjects in the research setting, some of which were included in the study. Those

included are the foundation development director, college president, foundation staff, and faculty.

Procedures

The procedure for the study follows an interview outline. All participants were interviewed in the research setting at their individual colleges. The researcher was a full participant in the setting and a non participant at official college events when invited. At the end of the study the data was transcribed by an individual familiar with a transcription method using technology mentioned in an earlier section of this chapter.

Once transcripts were forwarded to the researcher, coding was completed using technology which is available on most computers. After the transcripts were coded and numbered, the researcher arranged the data and findings along the lines to match major themes. When all of the themes and data were assembled, the researcher completed the study by compiling the fourth chapter of the dissertation.

Ethnography Interviews

Interviews were conducted using a casual-conversational tone, hereby, creating a much needed level of both openness and trust between researcher and interviewee. Schensul et al. (1999) noted that the development of trust, which can be mobilized throughout the fieldwork process, is one of the key benefits of participant observation (Schensul, Schensul, and LeCompte, 1999). Because each individual environment is different, the researcher adjusted for unexpected circumstances and situations when conducting interviews. An informal and more casual conversational tone similar to that among acquaintances yields more naturally unfolding events (DeWalt, DeWalt, 2002).

Interview techniques commonly used include:

1-Active Listening-the researcher is quiet, primarily a listener, is gaining information as a researcher in the informants environment by using the least amounts of verbal prompts or probing; when probes are used, they serve to relay that the researcher is still listening and attentive to the informant

2-Sensitive silence-engaging in the conversation in which the researcher is not saying anything but shows attention to body language and employs more eye contact (Yow, 1994); assumes a position with closeness in mind, uses more personal space, and positions themselves for a degree of interaction depending on the level of acquaintance, gender, and cultural norms; listening is more personal and prompts are used to follow-up on expressions and new ideas.

3-The Uh-huh Prompt-very unsophisticated way of saying, “I am still listening”. In obstructive verbal cue to let the informant or participant know that the researcher is still listening; “uh-uh” adds a verbal component to active listening.

4-Repetition Feedback- the researcher repeats the words and phrases uttered by the informant; used to facilitate the expansion of and expression or idea which was revealed by the informant

5-Summary Feedback- similar to repetition, the researcher summarizes the last set of statements articulated by the informant; also provides a check on the understanding developed by the researcher; is an attempt for the researcher to clarify any misunderstandings (DeWalt, DeWalt, 2002).

Discussion of Trustworthiness

Dependability

The idea of dependability emphasizes the need for the researcher to account for the ever-changing context within which research occurs. The researcher is responsible for describing the changes that occur in the setting and how these changes affected the way the research approached the study (Trochim, 2000).

Confirmability

Qualitative research tends to assume that each researcher brings a unique perspective to the study. Confirmability refers to the degree to which the results could be confirmed or corroborated by others. There are a number of strategies for enhancing confirmability. The researcher can document the procedures for checking and rechecking the data throughout the study.

Another researcher can take a "devil's advocate" role with respect to the results, and this process can be documented. The researcher can actively search for and describe *negative instances* that contradict prior observations. After the study, one can conduct a *data audit* that examines the data collection and analysis procedures and makes judgments about the potential for bias or distortion (Trochim, 2000).

Transferability

In order to better understand the study, information is gathered from numerous sources. By having as many sources of information as possible, the study is strengthened when considered duplicated. The researcher cannot specify the transferability of findings; he or she can only provide sufficient information that can then be used by the

reader to determine whether the findings are applicable to the new situation (Lincoln & Guba, 1985).

Environmental Database

An electronic environmental database was maintained both on the researchers laptop computer and a home system, using several programs to account for data collection. As a back-up to prevent deletion and to aid with retrieval, data was sent to email space and maintained on several Zip discs. This procedure ensured the proper storage with the utmost security and confidentiality.

Additionally, the information was readily available for convenient transcription and analysis. Lincoln and Guba (1985) caution that “data analysis must begin with the very first data collection in order to facilitate the emergent design, grounding of theory, and emergent structure of later data collection phases. The design statement should indicate familiarity with this fact and should make provision for the convolution of data collection and analysis throughout all phases” (p.242).

Ethics

The main ethical concerns are informed consent, confidentiality and potential harm to the participants (Bassey, 1999). In the study, ethical considerations and confidentiality issues were discussed with all participants prior to the intervention at each phase of the research. Informed consent was also sought with respect to the data and data analysis. All participants had access to transcriptions and field notes of observations and to their transcribed interviews. They were able to make changes to these transcripts.

Draft reports and developing theses were also discussed with participants who were not present, either face to face, or by mail and with follow-up personal discussion when requested. Findings from each phase of the project were also shared and discussed. How reciprocal should the research be - how can the participants gain from their involvement in this research?' (Bell, 1992; Brickhouse, 1992).

Data Collection

The researcher can choose to participate in the activities or only as a simple spectator. He can also decide whether it is convenient to let others know what his real intentions are. As an example, the researcher can go from being an overt observer, scarcely being noticed as an observer, to being fully participating as a covert researcher, while all the time, maintaining the role of spectator:

<u>Participant Observation</u>			
<u>Overt</u>	Participant as observer	Complete participant	<u>Covert</u>
<u>Research</u>	Observer as participant	Complete observer	<u>Research</u>
Least involved	Spectator		Most involved

Levels of involvement in participant observation

Source: Gill and Johnson (1991, p. 117)

Adler and Adler (1987) developed a similar scheme that is related to the amount of participation of the researcher. Their schemes focused on the types of roles researchers play when seeking to become members (participants) in groups they are studying. They compared this to Spradely's (1980) continuum of participation as follows:

<u>Continuum of Participation</u>	<u>Membership Roles</u>
<p><u>Nonparticipation-</u> observing from outside the phenomena or research setting, i.e. reading diaries, newspapers or watching television and/or videos to gain information.</p> <p><u>Passive participation-</u> on the spot, but does not interact with people; acts purely as “spectator or “bystander”.</p> <p><u>Moderate participation-</u> on the spot, is identified as a researcher and occasionally interacts with the people.</p> <p><u>Active participation-</u> engages in everything that others are doing as a means of trying to learn the cultural rules for behavior.</p> <p><u>Complete participation-</u> becomes a complete member of the group; engages in all activities.</p>	<p><u>No membership role-</u> no involvement or no engagement.</p> <p><u>No membership role-</u>no role for the researcher; does not become a member.</p> <p><u>Peripheral membership-</u> lowest level of involvement; the researcher holds back from becoming a central member in the group they are studying. However, may become member of the “scene” or of smaller group within large group.</p> <p><u>Active membership-</u> researcher takes on all of the roles of a full member.</p> <p><u>Full membership-</u> researcher becomes immersed in the group and takes on all roles and the identity of the group.</p>

(DeWalt, and DeWalt, 2002, p. 18-23).

Gaining Access

This researcher sought full participation and full membership into the research setting. Therefore, as a part of the research design, permission to gain access to the research setting was sought from the institutions involved in the study. A written letter asking for permission to study each institution was sent to each college along with any other additional information they would require before initiating the study.

Gaining access required negotiating with those both inside and outside of the study area, such as “gatekeepers” familiar with local behaviors and customs (DeWalt, and DeWalt, 2002, p.38). Based on their experience with naturalistic research, Lofland and Lofland (1984) believe that researchers are more likely to gain successful access to situations if they make use of contacts that can help remove barriers to entrance; if they avoid wasting respondents’ time by doing advance research for information that is already part of the public record; and if they treat respondents with courtesy.

Observation

The classic form of data collection in naturalistic or field research is observation of participants in the context of a natural scene. Observational data are used for the purpose of description—of settings, activities, people, and the meanings of what is observed from the perspective of the participants. (Stake, 1978). Observation can lead to deeper understandings than interviews alone, because it provides a knowledge of the context in which events occur, and may enable the researcher to see things that participants themselves are not aware of, or that they are unwilling to discuss (Patton, 1990). A skilled observer is one who is trained in the process of monitoring both verbal and nonverbal cues, and in the use of concrete, unambiguous, descriptive language.

Interviews

Interviews are an invaluable data gathering tool. In many cases a key informant was used to gather information not always readily accessible and or visible to the researcher. This process included using a key informant appointed by the foundation director, college or school president. Interview questions were both open and closed-ended; depending on the particular situation and environment observed.

Interview Protocol and Participants

Participants in this study were considered a part of a purposive sample. A description of the subjects in this study is found later in this chapter. All questions and responses were taped and/or videoed. After meeting with each individual in their particular college environment, interview responses were transcribed and reviewed by those involved. Interviews were transcribed verbatim and coded.

Field Notes and Journals

Field notes were maintained by the researcher to record additional interview information, to facilitate an ongoing record of the participate observation process, and to record any formal as well as informal observations the researcher came in contact with. Field notes aided in the construction of themes, recall of both formal and informal discussions, helped the researcher to recall the subjects spoken with and to record activities pertinent to strengthening of the study. A journal of daily, weekly, monthly, activities was maintained. The journal was maintained as a record of participants spoken to, activities engaged in and events which were observed. A journal was kept for the entire length of the three month study. Both field notes and journal assisted to recall and interpret the data gathered in this study.

Letters, Memoranda and Other Communiqués

Letters, memorandums and other communiqués were acknowledged to add validity to the study. All information gathered in this category was treated with the utmost security and confidentiality, while the research attaches meaning and purpose to this new information. The researcher may have also used local newspapers, mass media, office notes, administrative agendas, secretarial documents, meetings notes, meetings agendas, proposals, and both internal and external sources to enhance quality of interpretation of data.

Methods Used to Strengthen the Validity of the Study

Triangulation

The researcher used multiple sources of data for as many of the variables/constructs as was feasible. The degree to which archival data, direct observation, interviews, and document analysis converge makes the conclusions about the phenomenon more convincing. Triangulation is tantamount to validation when using qualitative data. Yin (1994) suggests maintaining a database of interviews, documents, financials, and other primary and secondary sources separate from researcher observation. Interviews should be taped and transcribed to avoid charges that the researcher's recollection and encoding-filters bias the data. The researcher will describe how data are collected, stored, and analyzed so as to maintain a "chain of evidence".

Rigor

Rigor is as valid a concern in qualitative research as in any other kind of research. Qualitative researchers employ different means of "persuading" the reader that

a study is trustworthy. Rigor is needed in all kinds of research to insure that findings are to be trusted and believed (Agar, 1996).

Reliability

Yin (1998) has suggested that the criterion of reliability is met by establishing a case study protocol that would allow someone else to follow the researcher's procedures.

Validity

Validity exists of both external and internal validity. To establish *internal validity* multiple sources of evidence were used along with the researcher's personal account. As described previously, these sources of evidence included letters, memos, meeting minutes, computer interactions stored on disk, prints of documents in progress, sketches, visitors comments, e-mails, and other related items. A chain of evidence was established in which data were catalogued and indexed, and recurring or developing themes recorded in a way that facilitates retracing. Drafts of the narrative account were reviewed by other key members involved in the research setting - thus contributing to the verification of a description of the research process and interpretation of events.

According to Connelly and Clandinin (1994) the task of meeting the criterion of *external validity*, therefore, does not lie in finding a design setting to mirror the researchers experiences or point of view. Yin (1989) considered that the requirements of construct validity for qualitative case studies are met if the correct operational measures for the concepts being studied have been established.

Quantitative Research as a Method

Participant observation can include quantitative methods. These consisted of structured interviewing, *free-flowing* conversations, structured observations and formal elicitation concentrating on annual giving activities and final receipts of contributions.

Limitations to Methodology

The downside of *free-flowing* interviews as a data-gathering technique is increased threat to the objectivity of the researcher, unsystematic gathering of data, reliance on subjective measurement, and possible observer effects (observation may distort the observed behavior) (Becker, 1993). Interviews can be very demanding in time, energy and emotional involvement (Bogdan, R. C., & Biklen, S. K., 1982).

The researcher may be unable to fit the data in a wider context without additional broader studies. There might be a large amount of "unanalyzable" data because the researcher has to record everything and then sort it out. Personal characteristics play essential roles and can skew the sample (Zelditch, 1962).

Chapter Summary

Believability, credibility, consensus, coherence - all these things are no doubt important, and a piece of work would be better for possessing them. However, these things do not guarantee the truth of research conclusions; indeed, they may not be indicators of truth... Truth is a regulative ideal; it is much better to strive for it-- even though it is akin to the impossible dream of the man from La Mancha--- than to strive for something less worthy (Phillips, 1987).

Similar to the quote above, this chapter has set out to take the reader on a journey to the inner truths surrounding annual giving within Texas Gulf Coast Community College Foundations. The road has been paved with all of the tools – research purpose, research procedure, assessing meaning to participant observation, quality of qualitative research while understanding multi-case studies and the establishment of trustworthiness. In the end, this researcher hopes that the reader will find and “make meaning” of what may be possible.

CHAPTER FOUR- A DESCRIPTION OF RESULTS AND FINDINGS

Introduction to the Results and Findings

This study focused on annual giving as an additional opportunity by community college foundations to accomplish overall goals associated with development and fundraising. The problem is significant because community colleges are faced with growing demands, i.e., higher enrollments and technological needs, while reductions in local tax revenue, along with state and federal appropriations are reaching historically reduced levels.

The previous chapter presented the method used to collect the data for this study. Data collection was administrated according to the guidelines set forth in the Institutional Review Board (IRB) approval in Chapter Three and was administrated through the interview and *free-flowing* conversation method. According to an earlier passage, interviews and conversations allow the researcher to dig deeply into complexities and subtleties of a community's social life (Monaghan & Just, 2000). Responses are presented in the words of the participant, thereby providing greater intensity and meaning to the overall study.

This researcher was allowed to enter the environment, engage in *free-flowing* conversations, and observe annual fundraising activities taking place at several colleges. Similar to participant observation, interviews helped the researcher share as intimately as possible in the life and activities of the people in the observed setting. The purpose of such participation is to develop an insider's view of what is happening. This means that

the researcher not only sees what is happening but "feels" what it is like to be part of the group (Fetterman, 1998).

This study was conducted during the Fall of 2007 and the Spring of 2008. Participants for the study came from five community colleges within the Texas Gulf Coast Consortium, which included four presidents, four foundation directors, five foundation staff members and two community college instructors. Due to scheduling conflicts, one president asked to meet into February of 2008. Each participant engaged in a *free-flowing* conversation centered on the effects of annual giving from their point of view at their particular institution. Conversations were conducted using methods discussed in Chapter Three; meetings ranged in length from forty-five to ninety minutes and were conducted at their offices and or various campus locations. Although meetings were scheduled with individual participants, at more than one site there were several participants in the same room.

The research questions for the study included the following:

1. What are the necessary "inputs" (financial, structural, organizational, and operational) of a successful community college annual fundraising program?
2. What are the indicators (outputs) of a successful community college annual fundraising program?

Introduction of Fourteen Major Themes

After careful observation of data from transcripts and research notes, coding yielded fourteen major themes when discussing annual giving as aspects of an overall fundraising and development portfolio. Responses were grouped and transcribed in the identical manner that participants spoke; thereby, adding validity, clarity, rigor, and

confirmability to these findings. The researcher will present the data by naming each theme, giving a description of the theme, and then giving examples of each. Therefore, the rest of this chapter will be devoted to discussion of these fourteen broad themes, identified as:.

- Leadership
- Involvement
- Communications
- Support
- Awareness
- Experience and background
- Relationships
- Planning
- Size
- Events
- Activities
- Collaborations
- Use of technology
- History

Leadership

Fundraising success is contingent upon the director of the foundation. Additionally, the college president and board of trustees are also responsible. Nonetheless, foundation directors are responsible for meeting with the college president, maintaining knowledge of current and pending legislation in the course of communications and public relation to the community.

Example 1 - Presidential leadership

The college president of the college is called upon to inform the community of needed support. In this position, that person can communicate as an extension of either the Board of Trustees from the college or from the foundation board. Whichever route they choose to take, for better success, staff should be

involved and the communications should have the support of either foundation or college boards.

Staff involvement

I think it is very important that everybody from the security guard to the staff be exceptionally understanding. It is their job to help these students. And, again I think it's a marketing effort, it's not just the signs, it's the attitude and the willingness that you have to help other people, knowing that you're going to make a difference in their lives.

President communication with both foundation and college boards

We go to our Board and say okay, well first of all you get approved that you're going for a capital campaign from your board. But once you they know, "Okay, here's what we're doing, here's how much, then they give. Some can give a lot, some can only give a small amount, but a hundred percent of the board members give. And so it may be, you know, three hundred, four hundred from one board member and it may be ten thousand for another board member.

Board leadership in giving

We actually have two board members that sit on our Foundation board, so they are ___???_____ Board of Regents and they sit on the Foundation Board, and that is to provide some continuity between the two groups, but also to help to promote the Foundation and the giving to the other Board members, so that you have that communication between the two Boards and you also have the motivation to give. The other thing about the motivation regarding the Board is, anytime we do a capital campaign, we have a hundred percent of our Board that gives to the capital campaign.

Example 2 -Director's leadership

Foundation directors are always in a leadership position and must be aware of special corporate donor needs. Their leadership-coupled with a constant amount of

community knowledge - aids when decisions must be made to donate to causes outside of their college normal environments.

Special corporate donors

They have their own, Johnson and Johnson underwrites this massive gala event for the nursing students, but the problem is you have to buy into it, like if we want to be part of those funds; we have to guarantee a table, buy a table at their gala, which can run ten thousand dollars.

Director's decision to participate in donations

But there was no guarantee on how much money I would see back from our ten thousand dollar investment, and I said if I'm going to earn, you know, go out and raise ten thousand dollars I might as well just use it right here. We backed out, but that's how they give back to the community. Johnson and Johnson, and it works just fine.

Director's leadership

They have major donors who will underwrite all of that for them, but we don't have that out here in the burbs. I know _____???_____ has the same thing, they raised thousands of dollars. If we raise that kind of money, there's no sense in us turning it over to an organization that's not in our community.

Example 3 - Board leadership

Community colleges are seen as successful if their boards are involved. The organizational structure is in place to guide the institution; board members should be aware of their service areas and the more members are seen as involved, the more communities rally to support the institution.

Proceeds awarded by the board to the activity

...so they are closely tied to what is going on here and how we are spending the money, where the money is coming from, and that sort of thing. They you know

do action on all the major decisions that we do. We may make a decision but we have to be sanctioned by the board to do something. Like after the gala how we were going to use the proceeds had to be an action item for the board to make that decision. So, they are tightly knitted to us. We are tied together

Community representative on board from all service areas

The board, it is a volunteer board, so people are coming and going and we are always trying to add new people to it so that we have a well representative of our community. We try to keep that up and going.

Organizational structure

The pension protection act, to write it to the college, but we have been considered a type 3 foundation. So we had to get away from that because we had grantors that would not give us money because of this, so we went in and appealed to the IRS and we are now a public charity. It's got several numbers off the back side of it, but we are an educational endowment fund for the college, so not a 501C3. We are still a 501C3, but we're not a foundation in the eyes of the IRS.

Involvement

Annual giving success is contingent upon the involvement of numerous sources. Each year supporters become more and more interested in their duties as potential donors. Several finally take on the responsibility and express their needs as donors of special program and student scholarships; or they may just have a desire to donate for a special cause.

Example 1 - Foundation staff involvement

A well informed foundation staff is a welcomed resource. Staff involvement in annual events is invaluable to both institutional leadership and the community. Effortless

flow of information to both the community and students can only happen when staff is involved.

Staff connected to students

She works so much with the students directly. She sits up there, she knows all these kids by name. She knows that (name of student) will speak for us, she knows someone that will speak, and who will show up. I scope them out when they bring in their applications.

Staff well connected

They let us know if there are any trends or things coming up, and like could effect scholarship funds. All of the ISD's now are creating their own foundations, and so I just went last week to the _____ ISD had their gala, their foundation gala, and it was in _____ at _____, and just about all the industry people were there, we all saw each other, how're you doing, what's going on, you know, you just connect wherever you can. Every time you see someone you connect. I don't get to go to as many of the chamber functions as I would like to, but when I can make the chamber functions I go to those functions also.

Student communications

She tried to get the student organization on its feet before she left. And we might end up going that where you're starting now with the group we are already cultivating, and then going back when the need comes up. In the meantime, we get a letter out to them once a year.

Example 2 - Donor involvement

The "life blood" of fundraising and annual giving is a connection to major donors and their involvement, though everyone in the community can be considered a donor. It takes relationships and publicity to bring attention to the needs of the college after which these relationships are researched and tend to yield long-term benefits.

Relationships to college

Um, so as far as the foundation board, I am directly responsible for the meetings, for committees, I no longer spend the time preparing for them, that is what the development officer does, but we meet together to prepare the agenda. So that part of it, I do more of the college planning along with the president

Donor research with president

I find my time now either visiting with individuals, either meeting with corporations, along with the president or going to Alliance board meetings, doing a lot of planning, not only for the college for donor prospects.

Donor relations

So, a lot of different activities; our president is involved as well, and we have a public information officer that's a chamber member, so we all work together making sure we are at just about all of the community events.

Example 3 - Faculty annual giving involvement

College events can be quite enjoyable and festive with proper planning and commitment. Fundraising events which involved faculty received great donor response of auction items and were successful at raising funds. Yet in the end, faculty may not be aware of either total dollars raised or how the funds are eventually used.

Faculty committed to raise funds

Under the theme, of the Halloween theme, it gets a little fun, wacky, fun atmosphere, sort of carnival atmosphere. So you get the entire ongoings of faculty bidding silently, silently bidding for various items and the emcee of the whole occasion prodding and telling some Halloween jokes and such. So that's how I see the faculty side of getting involved in. I did some of the bidding as well. I must say, I did not get my one particular project that I wanted. Somebody out bided me for it.

Received valuable items

And then of course there were posters all over the place advertising this so I stopped by, it turns out that people have donated things to be auctioned off in a silent auction kind of stuff

Great donor involvement

And by the way the gifts to be auctioned off has gotten better, people have been donating good stuff. So I will of course prowl it again to see if I can get some good bargains and at the same time further the good cause of faculty support and also raise some funds for whatever the foundation may deem to use them for.

Not aware of total dollars raised

I did not know that it is supported by the foundation. This fundraising event that I am talking is also the largest event that we do each year. So I did not know that it was supported by the foundation. That's news to me.

Communications

Communication of annual events is essential to the success of the event. Many times colleges have a relationship with local media. This allows for the college to inform the community of current events, while placing a spotlight on various campus celebrations along with numerous campus activities.

Example 1 -Personal communications

Personal relations can create long lasting connection within a community. These connections, if cultivated, may result in relationships with major community officials, build long-term collaborations and result in much needed institutional support.

Community relationships

We have had a number of different groups that have sought to provide support through private individuals through the years. The Foundation has been primarily supporting student scholarships since its inception. During the last few

years it has branched out to support an endowed chair for a faculty member, as well as library, as well as some nursing equipment and classrooms. So it has branched out.

Personal relationships

We have had another group at the college. It sounds was started by a group of community members who considered themselves friends to the college, and wanted to provide money for things that were needed for the college at a particular time. For example, if a grand piano was needed, they would go out and raise money for a grand piano.

Communications with company officials

It was an invitation from me and from the plant manager to come to this event, so it was a co-invite. So they got to come meet the plant manager, they got to see the performing arts center blueprints, what it is going to look like, they got to hear from the plant manager how important they are, but how important and why it is important to support it. So there's that kind of recognition.

Long-term communications

The _____ seminar, since you asked about that particularly, has been going on for about four or five years now and it is the event that is both a service to the community but also opens up opportunities for folks that work with other people in planning their estates to know about giving opportunities at the college, and that is how this one particular gift occurred. An accountant, who was at the seminar and has been a participant for several years, was working with one of our donors who had given to the college before, but as working with her said "You know you have the means to give a bigger gift and meet your tax purposes" and so was able to help be the liaison for that. So she was able to do that, and then we were able to recognize that in a very public way, and actually named the children's center after her and her late husband. So that was very nice.

Personal relationships

It is really helpful for us as a college. Exxon Mobile as a company encourages their retirees to participate in the charity, in their education institute of their choice, they don't push our college at the event - but they'll push it. In a silent way, they may say, "You know, you really need to give back to the College".

Example 2 - Foundation communications

Without effective communications, the local community would not be able to support an institution. The community should be informed through as many outlets as possible. This leads to enhanced accountability of college services and long-term student scholarships.

Faculty supported annual event

We might not see it today or tomorrow, and I think that has been the most rewarding to see how faculty responds to each of our events. When they know about it, they support it.

Local communications

Um, building relationships in the community I would think would be our main goal. It's more so than even raising money. We look at it as building relationships, sometimes it is not the amount of money, but it is the doors that you open and the relationships that you build that then open doors for those major gifts or to have us in people's wills.

Student scholarships

We had, you know, the students are the workers at the golf tournament, so each part sponsors a student. They have a picture with a name and you know "you're playing today to sponsor this Wise student", and this is her goal and this is what her plan is, and this is who she is. You know, we have had our local bankers

have hired several of the students that they met at the golf tournament to work at their banks, so it's, that's why we do all of this, it is for the students.

Example 3 - Donor Communications

A number of factors are responsible for successful fund development. Among these are relationships and connections to dedicated donors; the long process of friend-raising which happens over a longer period of time and helps to build a sense of donor expectation among those whom the college calls upon each year.

Dedicated donor

When I arrived here, I saw a great opportunity to look at fundraising and annual giving as a way to transform the physical presence. And through the efforts of the Alumni Association and many others, we have been able to put together a proposal for about 7 million dollars to create a greener space once we get the new hub completed. And we are actively involved and talking with Foundations, talking with individuals, to try to raise that money.

Friend raising

It won't be for me, it could be for some others, because we have plenty of student activity money. I'm targeting, the reason I'm not pushing personally, we have a 45 million dollar budget here, so if somebody needs microscopes or anything, well first of all we can take care of that.

Donor expectation

I have this image of this college being like a beacon in the community, just brightness over here. So, it sounds like we're on some kind of mission over here, because I do, because we do good stuff here. The community expects us to be here for them.

Communicate through faculty connections

So you use faculty members, and when I say use, you become familiar with the individuals that they know, and there are times when you have to spend money to make money. Taking people to lunch, going to events where you know certain individuals are going to be, and you begin to cultivate their interest. Now if they are not interested in supporting you, then they are going to let you know right away, because people who are well off financially can probably say no better than anybody, and that's why they have resources.

Example 4 - Community communications

Communications begins at home and on campus. As the annual event unfolds, it becomes a part of the community. Staff become involved and participate in both community and college activities. The administration builds better donor relationships and relies on foundation staff support for enhanced community communications.

Be a part of the community

So, it is kind of interesting how that all plays out, and if you look at fundraising you know that someone's first gift, if treated right, it's a first gift, not a last gift or an only gift. And that is what I found out annual giving does, it lays the platform for the next gift. So we will have an annual campaign that is a paper and pen solicitation, and we may, I think last year we raised 50 or 60 thousand dollars with the communities help.

Staff active within community

I also as I see more employees involved in giving, and participation in foundation activities, and in advocacy on the college's behalf, that changes the dynamics too, because then you have a far greater sphere of influence and outreach, and so it is great when I hear someone say "I just really think the world of" and it is someone who is teaching in this area or who works in this office. So that is just part of that greater arm.

Donor communications

That seminar, since you asked about that particularly, has been going on for about four or five years now and it is the event that is both a service to the community but also opens up opportunities for folks that work with other people in planning their estates to know about giving opportunities at the college, and that is how this one particular gift occurred.

Staff reacts to college communications

They don't necessarily know what the amount will be, they don't know what we'll be raising money for, but when they hear there is a campaign, for example, the performing arts center, then they expect there will be some area where they can give money to help us move it to the next level. And, so in this case, we need extra money so we can have state of the art equipment.

Support

With dwindling yearly support from governmental sources, faculty engage in annual events to raise funds to maintain a commitment to students, the institution and the community. When funds become available and awards are made, which are also used for faculty development, student financial support may not be publicized or communicated to all faculty.

Example 1 - Annual giving support faculty, students and institution

By building better community relationships, colleges are able to recruit numbers of students from the local area. Additionally, the more community involvement, the more donations and support numerous institutions receive for special programs which benefit business and industry.

Donor knowledge and community support

Well, I think what you have to do is to find individuals who have an interest in the college, and essentially these are individuals who are very influential within the community. And being a new person in the community, I have to develop through conversations with faculty, other administrators. One of the things I think we fail to realize, for example, we have a department here, and the faculty and administrators within that area are very well connected to the arts. And I put together a fundraising committee, because one of the things we're interested in doing is creating the center for the arts, here. They know individuals who are very well established in this community, who are interested in seeing the arts not just develop, but flourish. And I think if you look at this city in terms of all of the advancements that have been made with transportation, sports, and the museums, and culturally. So you use faculty members, and when I say use, you become familiar with the individuals that they know, and there are times when you have to spend money to make money. Taking people to lunch, going to events where you know certain individuals are going to be, and you begin to cultivate their interest. Now if they are not interested in supporting you, then they are going to let you know right away, because people who are well off financially can probably say no better than anybody, and that's why they have resources.

Student support from local area

Probably closer to 80 or 85 percent; I've got the enrollment. We do the charts and everything. Again, predominantly minority, heavy Hispanic just north of here and then as you get closer, it becomes a little more Anglo. While up to the North of this area, you will find a predominant African American and Hispanic populations.

More donations from community for start-ups programs

I also as I see more employees involved in giving, and participation in foundation activities, and in advocacy on the college's behalf, that changes the dynamics too, because then you have a far greater sphere of influence and outreach, and so it is great when I hear someone say "I just really think the world of" and it is someone who is teaching in this area or who works in this office.

Increased community support

It is one of the things that before, because we always send out the invites to someone who has participated before we go public, well for the last couple of years it has been fully subscribed before we have been able to send out the brochures, so it is a situation where you sometimes have people on waiting lists to be able to play in the golf tournament. So that is a good thing. And then you raise the 30 thousand dollars, and so it doesn't cost you money, but what you're really raising are friends. And we do utilize, I think one of our root strategies that has worked very well for us, is we utilize students a whole lot in our annual activities.

Example 2 - Administration support of annual giving

Annual giving activities can be a major source of revenue for an institution. However, the administration has to play a major role in the actual event. Administrative roles can yield community support, help to promote the institution and yield better relationships with prospective donors.

Yields community support

So there, the chancellor takes a very active role. They should take an active role in doing found work. In doing the leg work, to promote the work of the foundation, pursuing avenues for the college and then letting the foundation office come in and close the deal.

Promotes college and gets support

It should be very essential. It is essential. It should be a backbone of fundraising for any found and should be well published, faculty, staff, administration everyone should participate and should be encouraged to participate. I know that if you are having a college-wide event, I know the board members time may be tight but once in a while some of them may show up, making the event; administration, may show up making the thing I know these are busy people but it doesn't preclude them from showing up from time –to- time.

More support by administration involvement

Definitely, I mean, I am sure that any faculty member would be more than happy to give \$100.00, \$200.00 towards a good cause of bringing students to the college.

Example 3 - How annual giving supports institution

The need for funds when delivered effectively is a major tool to success of the annual giving. When supported by college staff, recognized by college leadership and verbalized as an institutional priority, annual giving becomes most important in strategic planning.

Community support is importance

They keep leaning on employees to give more money and more money, and over the long term you've got outside and convince the community that if you are going to be healthy over long term, the community has to buy into the notion that the community college, as a well run organization, it can make a difference in the success of the community, it just can.

Critical to success

Well, I think what you have to do is to find individuals who have an interest in the college, and essentially these are individuals who are very influential within the community.

Annual giving priority

So we are going to have to look at ways we can supplement the budgets that we have, and to be able to continue to do and advance development within the community college structure. You can't expect to create and enhance quality and increase enrollment with the identical budgets that you had in the past, and that appears to be a pattern. When I arrived here, I saw a great opportunity to look at fundraising and annual giving as a way to transform the physical presence of the college.

Example 4 - Ways faculty can utilize funds to support student programs

Student exploration

Scholarships, travel, cultural exchange/travel, what else. Oh, nature excursions, going to business school. If a student is studying business –they might go to Wall Street. They might go to an industry. They might travel to a particular industry. A student studying system processing or chemical engineering may want to see both sides, they could go out to a refinery.

More community support

...having that money to sponsor them, to go to conferences to just expand their minds, and encourage them. These kinds of things will encourage them to continue in that field or to realize this may not be the field for me, and seek out another field. As so those are the ways.

Support for education can improve a student's life

Education can be so many ways, experiential and so forth and so on.

Awareness

Events and annual giving activities are not usually successful - unless someone knows about them. Community college faculty is no different. Faculty would like to know where annual giving monies are held, how these dollars can be utilized and how their backgrounds and experiences can assist with future events.

Faculty background

My background....12 yrs/ with the college science; intro to biology1 & 2, general biology 1 & 2, physical geology, historical geology, environmental sciences, oceanography, those are my areas of specialty and I have been teaching quite extensively for the past 10-12 years.

Faculty not aware that money goes to foundation

Well I can, I did not see a foundation person there. But I can only think that the foundation would support this kind of stuff. I mean the foundation office. Maybe I don't know who they are. But I can firmly say that I did know see a foundation office person there.

Example 1 - Awareness of foundation support

Even when faculty are aware of annual giving events, they may not be aware of where the overall support begins. Given that faculty will support the event and donate monies to numerous events, their awareness of organizational support and how the foundation support annual giving, is still not clear.

Not aware of foundation support

I did not know that it is supported by the foundation. That's news to me.

Faculty awareness

And then it terms of drawing from it, I have not; I don't know really, I don't know how that money got spent. If you ask me, I have no idea where that money goes. But I know, I can't even tell you the total amount. So that's what I can say on those questions.

Example 2 – Awareness of organizational support

But if the idea was to bring in the whole college community as a whole I don't think that was sufficient. I don't think that advertising was sufficient. They could have done more in terms of communications to the entire _____ community as a whole. That is trying to get the faculty who may not be aware, more aware; trying to get the staff to be aware. I did see some administration people, few of them, not many, but they could get them involved as well. So, they could do better in communications. If the foundation office is the one putting this event together, they didn't do, I wouldn't say they did a great job in the communications. But if I was to assign a grade, I would give them a B- there or about.

Example 3 - Was aware of annual giving events

So, in terms of annual giving, I have began to see things lately happening in the institution, because I have been here so long I have always thought of foundation or advancement that didn't t really see actually what we are doing, or what do you call it alumni foundation and things of such I did not really see what they were doing.

Experience and Background

This category was shown as a much needed asset when annual giving activities were planned. Several factors are needed to in addition to fundraising experience. With proper

training and background, program success can be attributed to yearly planning, connections to college alumni and maintaining relationships within the community.

Background Planning

This seminar opens up opportunities for folks that work with other people in planning their estates to know about giving opportunities at the college. They get to know our background and the many services that we provide. That's what it does.

Friends of the college support experience

And yes, the amount that the college received was probably about 90 thousand dollars. The capital campaign was 2 million. So you can see it was a great start to have a group come together, with the experience and background and then out of that we raised 2.1 million in the end. That particular organization has now folded itself into the Foundation, and therefore rather than having multiple groups, we now have the Foundation.

Alumni Relations

I came here two and a half years ago, and was involved in fundraising for about five years. And I was involved with the development of the strategies to put that together. Before that, my concept or knowledge of fundraising was, just a notch above ambulance chasing. But since that level of experience, I am a believer that there should be a very critical strategy and a level of involvement that is critical for the institution in terms of fundraising and annual giving. And through these efforts, we have been able to put together a proposal for about 7 million dollars to create a greener space once we get the new hub completed.

Example 1 – Experience

Moreover, fund development can be credited to leadership and experience. Both are factors when long-term success is the goal. Additionally, college relationships to the community, foundation staff responsibilities and past support of student scholarships may equate to future success.

Foundation director responsibilities

We have one major annual event, which is a gala for our Foundation, and we have that every year in the fall. _____ is in charge of that does a fabulous job, along with our Foundation board, which is very active in organizing the event.

Example 2-Community experiences

If you don't have an Exxon sitting here or, we just don't have a lot of companies that either have foundations or other, the kind of resources that would give to a community college. And part of that is, the companies that we do have, a lot of the leadership there are not familiar with community colleges. They are companies that have relocated here from different parts of the country.

Example 3- Student scholarships

But I see a lot of things made possible. Another good example would be new program development. I think that is where we will be using more of our resources because as the relationships develop with industry, there are some specific things that they want and they know how funding works and how, even if were a good funding situation, we are still going to be paid in arrears for any program you develop, so I am getting more interest from my community in doing things like paying the start up costs to develop a new program and student scholarships

Relationships

Whether in a small town or large urban center, relationships are everything when asking for money. Building relationships takes time and effort on all staff and college leadership. Informing the community of events, getting all foundation board members to participate in annual events and ways to recognize present donors and prospective donors are all challenges in either size college.

Example 1 - Networks

Connections and networks are critical to annual giving success. College leaders, with the ability to establish and develop broad lines of connections, were seen as more successful at annual giving fundraising activities. The more established donors expected institutional leaders to be accountable, and connected to local activities, such as high school banquets and or scholarship events.

Donors expects accountability

Organizations must be held accountable for the funds collected. Some of our goals or strategic plans include - real request –elevating the visibility of the foundation, but cannot raise the visibility without raising vision.

Understanding connections

Just have to find the right way. Easy way is to get through the wife or someone who knows them. Has to find a creative way to get to them, educate them on the need and the cause. Organization cannot intimidate donors by underhanded tactics; many donors want to give directly to the event.

Connection to high schools

And so there, the word gets out into churches and places like that, you are helping them do these things, and word of mouth, I think in a small town is more

important sometimes than press releases and that sort of thing. Things like going to the high school awards, we make sure there is a foundation board member there, if there is a high school awards night and somebody is getting one of our scholarships, we make sure a foundation staff person, either I am there or a foundation board member is there to present the scholarship.

Example 2 - Community relationships

Relationships are a must when it comes to success in an annual giving campaign. These relationships are formed through public relations networks to gain student scholarships. Alumni relationships also yield a source of funds. And lastly, by participating in local school foundation events, community colleges can gain a better source of community relationships.

Public relations networks

Oh yeah, we know just about all the community relations people, because they have scholarships here, so they get invited to student donor luncheon and everything, so we have a good relationship with them, and we maintain that relationship diligently. They let us know if there are any trends or things coming up, and like could effect scholarship funds.

More money from alumni

Well, actually here, a lot of our alums make a lot more because they go to the plants, in fact we have a brand new staff, and she wants to work with the alumni. She tried to get the student organization on its feet before she left. And we might end up going that way again. We are starting now with the group; we are already cultivating, and then going back for their support. We get a letter out to each one of them once a year depending on the event

Knowledge of local school foundations

All of the ISD's now are creating their own foundations, and so I just went last week to a high school gala. They had their gala, their foundation gala, and it was great. And just about all the industry people were there, we all saw each other, how're you doing, what's going on, you know, you just connect wherever you can. Every time you see someone you connect.

People care about the college

Relationships. Its friend raising, you've probably heard that before. But it is, it is about relationships. You never know when you're talking to people who will be that person, and it also means a lot more to them, because you know the people, and you know how much they care about the college, so it really is about the people.

Example 2 - Donor recognition

The community is full of donors; we just have to find them. After which, we must thank them for their involvement and contributions to student programs. When recognized, their donations are also used for textbooks and more importantly student financial aid.

Donors recognize need for emergency book club scholarship

Well, probably close to forty thousand, and we have another ten thousand sitting in an emergency book club.

Donors recognize students on financial aid

That is another problem that we have, that kids are on financial aid, they may have a scholarship, but also they don't have money for all the books, particularly our nursing students and people like that, where one of the books costs \$200.00 dollars.

Two hundred dollar books from donor

And we work with financial aid, so we sometimes have that kind of money over here that they don't have access to. These particular students get very little financial aid because they are non-credit. There is a certain amount of financial aid but it goes really quick, so sometimes they have needs way beyond the stated amounts.

Example 3 -Donor wishes

Fundraising personnel are either approached about possible donations to the institution or they seek them out. In either case, donors may restrict their gift to a specific program or scholarship. They may feel a kinship to the institution and give in the name of a family member or else they may feel their generosity benefits the community.

Memorial scholarship for husband and wife

What he was giving this money for is a memorial scholarship in he and his wife's names, for anything that has to do with the medical profession.

Restricted donation for medical program

Because he wants the money to go to work force programs and something that is going to benefit his community.

Donation aids community

You have to listen a lot also. Listen to what they are saying, what they want to do, how they want their money used, and then show them what you can do with their money, and how they are helping the students. You know with any kind of fundraising, what you're trying to do is match, you know, donors who want to have an impact with something that's aligned with their values. What I found, just since I have been at this college, is that there's pretty much something here for everyone in that regard, but it's also an uphill battle educating the community about community colleges.

Event Planning

Special fundraising activities can be planned on an annual basis. The enormous amount of time and energy which is needed could not be done without some type of contribution from the college. Even though scholarship luncheons are popular, in the final analysis, community relationships aid in the overall success of these events.

Example 1 - Scholarship luncheon

Why it's to have a casual conversation and see where their interests lie. I mean if they, in your conversation, tell you they graduated from Texas A&M, I send them 500 thousand dollars a year, I love them, I've got maroon flowing through my veins". You know better than to even ask about a donation.

Planning contributes to annual drive

Calling and planning also for ways for them to specify what program they would choose to help, and we done for about five or six years.

Planning around community events

That is not our goal, and so we only have the golf tournament, the scholarship luncheon, and what we have chosen to do instead of other events is to tie our foundation events to activities that are already going on campus such as the new music performance center, and to tie our fundraising to things that are already, does that make sense, that are already planned. So, my time, much of my time is spent relating to the community.

Example 2 - Event Planning

Event planning involves all staff and college personnel whom are engaged in particular fundraising activities. These events should involve the college president which

brings increased college exposure. Long-term relationships are established by getting donors involved.

President's reception

Oh that. It doesn't take much to get together. We have a kick off at the beginning of the season. We call it the President's Reception. We have it over at the corporate learning center and that does two things, it gets people over to the corporate learning center if they have never been there. They take the walk from the corporate learning center over to the learning center which is a very nice walk, and most people never make it unless they come to that reception. It's a big reception, we probably had 150 people or so, and it kicks off the season. Then we go over to where they have a performance, and there is dessert and coffee at intermission. You should come, it is quite impressive

Events give college exposure

You know, the word is very good. We have a lot of really active volunteer board members, and like I was saying, when we have an event such as the golf tournament, not only do we pull in board, but community members.

Donors get involved in events

You know I can talk all day and say this building is going to be beautiful and this is you know, the bottom line, its not about me, its not about the beautiful buildings, its what we do to help these kids change their lives, and that is what we say, one life at a time.

Example 3- Annual Planning

The overall purpose of annual planning and raising funds builds on personal relationships, community communications, and the relationships that donors have to special programs. Donors enjoy the special recognition that is given to them when they are involved.

Personal relationships help with planning

And we have found that if we put our students through that, then they do a hundred percent better. So, but the underwriting for the RN, that costs us about eight thousand dollars, for the LVN about thirty-six hundred dollars, and I have a donor for the LVN, so I have half a donor for the RN, so I'm looking for additional money.

Special programs recognize donors

They are invited to the pinning ceremony, and I think the nurses even write a thank you note. And our regular scholarships, the students write thank you, every regular scholarship that we award there's a thank you, not just from us, but from the student.

Events communicate special needs

At the least we try to stay in communication with our students and find out what their needs are, and we look at the trends, what's going on, what are they coming in, and that sort of thing. And we work with financial aid, so we sometimes have that kind of money over here that they don't have access to. These particular students get very little financial aid because they are non - credit. There is a certain amount of financial aid but it goes really quick, so sometimes they have special needs.

Size

Size does matter when it comes to having the proper amount of staff and resources to support an annual event. In a smaller city, small organizations may be great for the community; they are seen as more involved in the community but may receive smaller direct donations. All organizations live with a fear of competition for funds, no matter what size.

Example 1 – Within the Environment

Our size is great for the community

Yeah, we are starting to see interest in giving because of our continuity and size in this community. They know we're here, they know what we are doing, and just the fact that they feel comfortable that we are going to be here, and that we got the program up and going, that we are expanding every year into some new things. We try to meet the needs of our students here on campus.

Competition for funds because of size

And part of that was a challenge grant that we could earn up to two million dollars if we matched that much money. They would match whatever we got in the way of donations, and they put that matching grant thing out for us, for our burn clinic, and college safety program. Well the larger schools both have a much bigger donor basis and a much more deep pocket donor base, because of our size and alumni base, we were not able to get as much from that grant as those larger schools.

Our size helped to raise one hundred thirty-six dollars from donors

In the end, we had a total of 136 thousand dollars from our donors and they matched it dollar for dollar. So that turned into our annual fund campaign or we were out in a hurry because we had a June 30th deadline on it. And so, we sort of set our annual campaign on the side and picked this up and ran with it. That's what happens when you are a certain size and don't have the same resources as the larger colleges.

Community involvement because of size

And there are five of us in this department and all of us are very involved in our community. And we all feel like that's very, very important, to be in touch with people and the fact that they know we work for the college and we represent what is going on here. We can be reached by anyone in the community. I think our size helps us in that way.

Size of Staff

The size of staff in a college where annual giving takes place does matter. In a smaller community the college is seen as more in touch and involved with the community. Smaller colleges were seen as a factor when relationship to the community was questioned. Size also helped when updates to the community were needed; smaller colleges were quicker to do so.

Example 1 – Staff Relationships

Community updates

We need people employed, or you know we've got this equipment that you said you're having this new program, we had no idea you need some equipment", or "Have you met so and so, did you know they're interested in that?" That type of thing

Relationship with the business community

The other thing that is really important to us is, I've mentioned you know the companies, but Exxon Mobile Education Foundation, its part of Exxon Mobile so it's just not here, but that particular foundation matches our gifts, and so if a person gives a dollar, Exxon Mobile gives three dollars. So it is a 3 to 1 match, huge. It is really helpful for us as a college. Exxon Mobile as a company encourages their retirees to participate in the charity, in their education institute of their choice.

Community involvement

And they see the college as an integral part of that. But in that meeting, there is a time for me to give an update there too. But, I will find out what they know about the college just because of the conversations in this community.

Example 2 - Size and Community Connections

Smaller colleges are seen as more connected to their community. Because of their size, a smaller college gives the appearance of a certain closeness of the college to the city; thereby, creating a perception that the college has something “going on”.

Hit the nail on the head

I think you’ve really hit the nail on the head. It is very much because of the history of the college, because of the city itself. This city was originally a one company town. Exxon Mobile. It was Humble then. And they were actually, that company was a very integral part of the beginning of the college. The college started during the depression. Why did it start during the depression; because the company wanted it to? And they didn’t want people necessarily to go away to college, and they needed trained employees. So they started the college.

Closeness of college to city

Part of that process was then, “Well, if we are going to have a college, we need to support it. So we support it through the tax dollars, but we also want our employees to give to the college in this small town; so that people that don’t have the money to go can go to college and then be our good employees.

College has something “going on”

So it is a very interesting early start. Because of that early Foundation, it is just a natural for people now to say, “Oh, well the college has something going on, well then where do we give?” _____ College is a small college with enormous potential. People know our history within this community.

Example 3 - Size of the City as Recipient of Annual Funds

The community will support an annual event if the need for support is expressed. In a larger community the foundation may not express its needs to the community as

compared to a smaller community. By doing so, the foundation may seem off beat and out of touch with the community.

Larger community needs more information

Well we cannot absolutely say that with and effort and awareness, publicity, campaigns people can become aware of this. People cannot be given to what they are not aware of. People cannot give to things they do not know about. You got to make them know about it.

Foundation off beat with community in larger city

You got to make them know about it. Well hopefully the foundation office could do a better job at doing these things.

Large size community not aware of needs

You gotta make them know what you do. Why they should give. So those are the things. In a city this size, more information should be sent into the community. It has to come from the foundation or publicity office on a regular basis.

Events

Example 1 - Annual events

A well-planned event yields community support, builds donor relationships, and aids the college towards developing more meaningful relationships leading to giving support and recognition from future donors. Institutions which engage in annual events also yield better results from publicity and marketing.

Event planning

That's our gala, it has been the only event. The first one was huge, a full sit down dinner. That took too many people and too much time, so we started to scale back to doing more of a reception type, and we make a nice sum of money off of them for not a whole lot of effort, and our foundation solicits silent auction items, which will increase the income.

Community support yearly event

So, once again we are going to proceed with working in that direction and it opens up a whole other level of people who can give to the college and to the foundation because you are not charging exorbitant amounts for fishing rights, maybe 25 to 50 dollars, and there is to maybe give a 200 dollar prize, and they are willing to spend that and are going to have a good time anyway. Because they are probably going to spend that much one-way or the other out for a day of fishing.

Community expects to be recognized at events

But everybody has gotten the idea. And every year its like who is going to be the winner at event this year. It has gotten to be something very important in the community to be named a recipient of our community award. So that is our major annual fund-raiser that we do every year.

Example 2 - Purpose of Events

Beyond the obvious that annual giving is a mechanism used to raise funds for institutional support; there are many supplemental reasons for an event. Each event helps to build community relationships; aids to build towards future rewards and finally, assists to open doors for student employment within the community.

Build relationships with the community

All of those students probably are on scholarship, or they are on full scholarships, or they are student workers, and so, yeah they were part of the golf tournament. We had, you know, the students are the workers at the golf tournament, so each part sponsors a student. They have a picture with a name and you know "you're playing today to sponsor this student or that student.

Future rewards from relationships

You know, we have had our local bankers hire several of the students that they met at the golf tournament to work at their banks, so it's, that's why we do all of this, it is for the students.

Opens doors

I mean we had these kids with us at all the city council resolutions, you know when they were making resolutions, and we had them when we were making presentations. The lady that gave the 500 thousand dollars, the building was already built, and so the money went to child care scholarships. It is giving to those kids, and so if you are able to give scholarships to them, you know like the _____, they get that thousand dollars.

Example 3 – Annual Giving Events

The recognition of donors is a major factor of a successful annual giving event. Annual planning helps to bolster donor recognition within a community. Therefore, annual events are planned to recognize donors; this activity also helps to bring public awareness to needed endowed scholarships. We have it every spring, usually February or March timeline. And they come together at the breakfast, we have a time where they can just talk, and then at that time we recognize the people who are the, have given the latest endowed scholarships.

Annual event planning

So for example, we have had ten people that have given us endowed scholarships over the last year, they're recognized, and they get, we give them a plaque and we recognize them in public, and you know they're the people that are honored that day. And sometimes we may have people that have given two or three endowed scholarships. Yes we plan to recognize our donors

Public recognition of endowed scholarships event

For example, when we have the scholarship breakfast, and our local newspaper, and the other local newspapers in the smaller communities are there and they are

taking pictures, and it is in the newspapers. We have our Foundation gala every year. We have a gala which raises money for scholarships, and that gets a lot of local press. We have underwriters, and so they will go take pictures of the underwriters and put it in the newspaper and those types of things.

Donor breakfast

This is an annual event.

Example 4 - Community and Institutional Events

Colleges are great at showing off their work within the community which then leads to support from whoever is watching. They can do this as a way to garner support for faculty-endowment dollars; mini-grants for immediate student program use or through the use of faculty contributions to support child care programs.

Mini grants from community events

The lady that gave the 500 thousand dollars, the building was already built, and so the money went to child care scholarships and it went to our mini-grant fund, which is non-restricted, so we split it half and half. And so she gave that money because she came to our scholarship luncheon and we had her sit with her child care scholarship.

Faculty contributions at community events

I mean we had these kids with us at all the city council resolutions, you know when they were making resolutions, and we had them when we were making presentations. They like to, you know that's what it's all about. It is giving to those kids, and so if you are able to give scholarships to them, you know like the five hundred dollars or the thousand dollars that they get from the faculty; that might not sound like a lot, but at a community college that is a pretty good, you know, and in addition to giving money for child care scholarships, faculty always participates.

Donors support faculty events

She had given us a small amount and she wanted to leave a legacy for her and her husband, and they didn't have children, it was always something that they had wanted and so scholarships for faculty are very important to us especially when it comes from donors who expect to support our faculty endowments.

Activities

The success of scholarship activities can be attributed to several factors. Included in these are community of the actual program need, how a particular program benefits from funding, to what degree the community is involved and the actual execution of an activity. These are several factors which can contribute to annual scholarship success.

Example 1- College Communicates Program Needs

But, you know, we have some programs that benefit from both types of funding, so we always try to coordinate that and look ahead to see what the needs are and what is coming up.

Activity supports both sides of the funding

Yes, and I've been here just about a year, so for this year we sort of divided grants up. Certain organizations, foundations, and such, corporations tend to make grants to the foundation rather than, you know my side is mostly federal and state funded programs for the college overall.

Scholarship activities

I think that is where we will be using more of our resources because as the relationships develop with industry, there are some specific things that they want and they know how funding works and how, even if were a good funding situation, we are still going to be paid in arrears for any program you develop, so I am getting more interest from my community in doing things like paying the start up costs to develop a new program

Community activities

We have several community activities. Our golf tournament, the scholarship luncheon, and what we have chosen to do instead of other events is to tie our foundation events including our faculty endowment drive, which the community enjoys so much, to activities that are already going on campus. Does that make sense, that they are already planned?

Example 2 - Event Activities

Colleges plan each year to engage in activities that benefit both students and the institution. These activities help to build community relations and motivate college staff to participate. Golf tournaments and galas are both examples of these activities.

The community within the college that makes it work

There are many ways that faculty members are involved in our activities. They can you know support scholarships; we have many grants where they can write a grant for an area of need in their program. We also have some other grants and grant opportunities, like associated with our Achieving the Dream project. They're a larger grant. If they see an opportunity within their program, they can write a grant to support that. That why I said the community within the college makes it work.

Annual golf tournament

I will give you example of annual giving activities which equals student scholarships. We have a golf tournament and each golf team invests 500\$ towards scholarships; 2 - 18 hole courses in a scramble; \$120 times \$500.00 per team. We can have over 260 golfers, companies will pay the fees which is \$500.00 each, the scholarship amount; major company will pay for fees or give gifts in-kind. We have executives from major company or their board members who play.

Community relationships

I like to procure as much public relations as possible; board members need to be 100 % responsible at the lower amounts. We were able to get high profile individual to chair gala and give major check; networks help to get to those foundation director cannot get to. Get to know the relationship that you have in, the school, office, and neighborhood. The gala chair was able to get several high profile people to chair the annual gala; they stoke at the event, used their names and faces for the event, he also asked them to buy 25k tables.

Example 3 - Activities for Student Scholarships

Colleges were actively engaged in activities that generated student scholarship support. Several activities originated because of an immediate need to assist students while others were industry related.

Donor expectations

I think that has happened as we went through the, we were building a legacy campaign, and then as we have been out in the community the past two years promoting the master plan which lead into the bond election, so I think that has been one of the strengths to integrate the community with college activities.

Activities change one live at a time

But when we have activities, such as the golf tournament or such as what we have been doing with the bond campaign, even though the Foundation was involved, it seems to be very interrelated, you know public information did a major part of it, and the Foundation did a major part of it.

Personal belief of donor in activities

So I think it, you can't say it has the work of the foundation. Scholarships have not been only the work of the president; I think it's just all of us working together, especially with our donors. It has just worked.

Employer relationships

We have someone that is responsible for college press releases, and then we have several directors from local companies who attend our meetings. The director of public information attends our board meetings, just so that she knows what is going on and what activities are planned. They have been great at supporting our activities.

Collaborations

Collaborative efforts are a necessity of community college relationships, especially as a process of raising funds for programs, student scholarships and faculty development. Partnerships, which benefit the college, can be in the way of grants from Federal sources, institutional efforts and corporate funding,

Grant collaboration

And we have a couple of state programs that they're meant to develop a pipeline of students for a particular field, and so we can offer, we get some of that state money and then we can use it for scholarships, but they're administered through the foundation. And we also have the grant. Her side has the big _____ grant. But should be able to house this grant once we got it operational, they couldn't use the _____ money to do renovations and things like that to the building. But so the foundation, seeks that kind of money for those kinds of projects.

Collaborative partnerships with other college departments

It can get pretty collaborative. So we are working with the project directors you know in trying to do keep track of what it is they need and make sure that they are informed, you know, regarding what can be spent for what. Then there is also

the business office. We work with their director to keep us informed of spending limits and regulations on how to spend certain money from a range of sources.

Various ways to spend the money

They really started with that, so they have a large federal and state grant that sort of got them up and running, but they have been soliciting corporate funds and also have been a couple of rounds in a row now the beneficiary of foundation moneys, so because they have a typically needy population. Student programs have been supported by funds from several different sources.

Use of Technology

Many different types of software exist which can be used to gather and store donor information. This helps foundation staff to position and plan for future needs. With so many types of software and hardware, foundations should have a strategic plan for the use of technology.

Staff communicates with technology

We have a lot of information in Peridine, which is kind of how we do our events. That's our major data base. Our Christmas card lists are in there. We have actually done a different one for student donor; I put it on Access because that stuff will feed into Datatel. So as I could I have been setting up some Access or Excel, because Access and Excel will feed directly to Datatel or Paradine. Just as useful as the data base, is our secretary's institutional memory. She's from here. She knows everybody, lived here, went to school here, worked in the local school district, three of my kids have gone to school here. At one time or another, there has been one of us here at the college.

Communicates with donor families

Yes, we do lots of families in our database. So, it really just depends on the family's capacity for others. For some people, the thing is really a wonderful symbol to give to the endowed scholarship. And for others it's just a one time

scholarship, maybe they give us \$500 dollars and just want to spend it one semester; we then send them a thank you as well as a note to the student who received the scholarship from our database.

Data base works for their needs

The faculty calls us and says, you know, so and so has talked about giving this. We put them in our database, and then we handle the acknowledgments for that by sending thank-you cards and letters from which – ever way we can. We make sure that they know how much we appreciate it all. We let them know that there is some sort of event that recognizes their gift; faculty does help to provide us donor info for our database; it may not be the best system, but we can always reach them.

History

Institutions of higher learning have benefited from stability within a given community. This allows the community to build relationships, shape the culture, as in the case of one college - which contributed to the outline of an entire work force within the community, and lastly, build a foundation which works within the political foundations while carving out its much needed identity.

Staff history to support

If you were relying on your own employees to support the found, in the long-term, the found would not be as successful as if you would like for it to be. But I don't, the history of our found is that aahm we are still not where we want to be. We still have a long way to go because we have not reached too much outside of our own employees.

Family history

Historically, parents who have gone to college expect their children go to college. And I think if you are first generation in college, where your parents didn't go to college, or you don't have a history of going to

college in the family, then you are less likely to come in and ask somebody about our college. I tell them, go ask them about what they want from a college education; whether scholarships, getting a job. If you just show up here and they don't know what they want we can help. But, I think part of their hesitation about scholarships and financial aid, is that they don't understand that there's no catch to the money. They have to fill out the paperwork, but if they have no family or historical connect to a college they are less likely come in and register to attend school.

Community history points to giving

I think 100 percent. I think if you didn't have something every year, people look forward to it, people anticipate it, you know, whatever form it happens, whatever you're emphasizing that particular year, but you know, I think some people say, "Gosh, how can you do annual giving, how can you ask these people every year?". Actually people anticipate that. They look forward to it, and it's something that people expect. It's not something they dread. I mean, they look forward to that annual push, and I think they are always intrigued. Giving to the college is part of this community's history.

Conclusion

In this chapter, an overview of the data collection process, participants involved, selection of participants, and the actual words from the interviews were used. It also included an account of how the data was analyzed, reported and how fourteen broad themes were developed. This researcher spoke with and had *free-flowing* conversation using interview methodology techniques described in Chapter Three. Fourteen broad themes emerged in terms of the successful annual giving and fundraising experiences of study participants.

Even though the themes were developed using an exhaustive method, they are not meant to represent the totality of all the participants' experiences as applied to annual giving and fundraising activities. To give reliability, dependability and a human quality to these findings, the words of the participants were used. This approach was an effective way to relate the most meaning from these findings. Chapter Five will relate more findings, cross-reference themes to grounded theory, introduce theoretical bases and lend further discussion on annual giving as a viable fundraising tool for community college foundations to apply towards future success.

CHAPTER FIVE – CONCLUSIONS AND RECOMMENDATIONS

Introduction

Judge each day not by the harvest you reap but by the seeds you plant."

-- Robert Louis Stevenson

Chapter Overview

Chapter Five contains a discussion of the findings, implications, and recommendations for further study. This study began with a statement of the problem of declining financial support that community colleges have for student participation and success. Various reasons for this decline are reduced state appropriations, rising yearly institutional costs for faculty, technology, and delayed maintenance programs. Additionally, lower tax revenues from local sources and diminishing federal aid have caused institutions to rethink how to best utilize annual giving as a fundraising and development tool.

In Chapter Two, a history of community college fundraising was explored along with a compilation of data on fundraising, development and annual giving in order to establish a theoretical foundation. Chapter Three explained how the research methodology was carried out and to what extent the study adhered to stated and approved methods. Chapter Four, by using the words of the participants in this study, gave the reader a sense of what annual giving and fundraising entails from their viewpoints.

The research questions:

1. What are the necessary “inputs” (financial, structural, organizational, and operational) of a successful community college annual fundraising program?
2. What are the indicators (outputs) of a successful community college annual fundraising program?

Theoretical Implications

This study was designed to closely examine the two research questions stated above. And upon examination, this researcher found, a theoretical input – output model; which is described as a community relationship model. Research question number one is concerned with the inputs of a successful annual giving program. The model describes a fine-tuned relationship between inputs and processes to yield outputs:

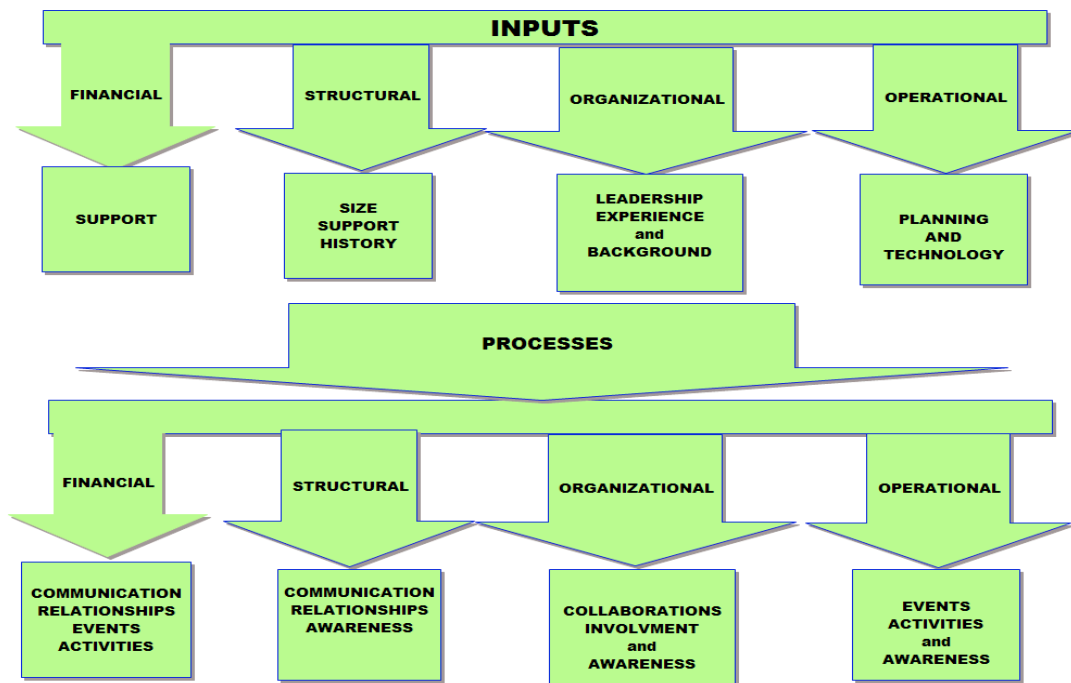


Inputs are described as relationships between the way projects began, the relative contributions of the organizations towards the process, and eventually evaluating outcomes (Rynes, McNatt, & Bretz, 1999). While processes can be explained as (1) logic used to explain a causal relationship, (2) a category of concepts that refer to actions of individuals or organizations, and (3) a sequence of events that describe how things change over time (van de ven, 1992). And lastly, outputs convey transforming multiple

inputs (resources) through multiple processes (actions and measures) into outputs (goods and services) through organization, management, and technology, (Lewin, & Morey, 2001).

An additional depiction of the relationship between research questions, major themes and a connection to each input and process is outlined in the table below. The output relationships will be a focus at the end of this section. This relationship is further broken into functions outlined as:

- Financial
- Structural
- Organizational
- Operational functions



Inputs

Financial

Many colleges listed numerous examples of contributions from individuals, corporations, foundations, faculty members, and even student organizations. The deepening financial crisis is causing more colleges to seek funds from new sources rather than continue to align their development strategies with governmental sources. This has caused them to become creative, thoughtful and aggressive in their search for new donor streams.

Support

Integrated into the fabric of the strategic plan, support - as an input - from both the institution and local community, played a major role when annual giving projects were planned. At the outset, according to one college, the *original board of the Foundation said all they wanted to do was raise money for was scholarships*. As the need for supplementary funds for additional programs and curriculum development became apparent, institutional leaders began to look outside of the college for assistance by enlisting the aid of community donors. According to one foundation director,

when we support ourselves and as I see more employees involved in giving, and participation in foundation activities, and in advocacy on the college's behalf, that changes the dynamics, because then you have a far greater sphere of influence and outreach when asking for support.

By supporting themselves, community colleges are more apt to receive additional support from within their local community, especially when college administration takes

an active role in the annual giving process. Participation of college administrators was seen as a major influence to gather community support. As one faculty member acknowledged, “so many people will want to come and see the chancellor and at the same time learn about whatever the event was supposed to be about while supporting the college.”

Even as the responsibility to support the college was taken up by willing staff, faculty and administrators, initial support was a critical factor towards achieving long-term growth in annual giving programs. As one president remarked,

we are going to have to look at ways we can supplement the budgets that we have, and to be able to continue to advance development within our community college structure. And then find individuals who have an interest in the college. And then those individuals who are very influential within the community will see that we are supporting ourselves.

Initial institutional support was viewed as critical to annual giving success. Therefore, the capability for the institution to support its own initial efforts was a necessary input and a main concern when annual giving programs were planned.

Structural

There are always those who are familiar with a great idea. However, they may not be the decision makers. A correct group of people is always needed at the table. As observed by Burt (1992), “players are connected to certain others, trusting of certain others, obligated to support certain others, dependent on certain others, push here and someone over there moves” (p.1). Therefore, after a careful survey of common goals,

history, and relationships, possible assets and an inventory of attributes, community colleges learn to combine correct forces needed to work with coordinators in the community. This approach boasts a construct for future generations; aids to assemble its strengths into new combinations, new structures of opportunity, new sources of income and control, and new possibilities for production while forming collaborative partnerships with those who could make a decision regarding their success (Robison,1982).

Size

Size really does matter as a factor when recognition from the community is concerned. Several foundation directors indicated that an overriding factor which contributed to their success was the size of the institution.

Yeah. I do think it has to do with the size of this town. And we all feel like that's very, very important, to be in touch with people and the fact that they know we work here and we represent what is going on here, and so...

Staff size also contributed to closeness and recognition within the community.

and there are five of us in this department and all of us are very involved in our community. By being so small people call and talk to me, other people call and talk to our office assistant or other members of our department. They just identify us with what we do here, which is what we want them to do.

Community support was more evident when the size of community was small as opposed to larger metropolitan areas. As one president said, "our size makes us a friendly and family unit within this community." Small towns and rural area college had

more of a family closeness and feel than large ones. As a foundation director related her “small town story”, by saying,

In fact we have people that I have never met to walk through the door and just say, “A child passed away, I want to give a scholarship in their honor. Is there any way I can? In fact, last week I had somebody call, her father died, and she wanted to a scholarship now, probably I’ve only gotten a couple of checks.

Staff, presidents, and faculty were seen as having close ties to the community in which they lived.

Support

Just as size was viewed as an important input towards annual giving programs; institutional support was also viewed as an essential factor of long-term success. Support can be viewed as a tool used to underline the necessity of basing relationships always upon the strengths and capacities of the parties involved, never on their weaknesses and needs.

Consequently, institutions rely on support from many different sources in order to survive. And as a result, because they lack... “support from large business within their area”, they rely on the same kind of people who attend their colleges for support....

These aren’t the Halliburtons of the world. So we primarily rely on the same kind of people that come to school here, that live in the suburbs. They live well, but they’re not what you or I would consider wealthy in the sense of having a lot of extra money to give to scholarships... they just don’t have it.

Institutional support is very important in the sense that it helps to build interpersonal partnerships. It is a community-building pathway which helps

people to be a part of the action, not as clients or recipients of aid, but as full contributors to the overall long-standing structural-building process.

Additionally, by developing community partnerships, equal access is granted to all available resources. Similar to the remarks of a president, regarding equal support from local funds...

that makes it very different from the urban setting where they can have a capital campaign and raise millions of dollars. We just don't have a lot of companies here that either have foundations or the kind of resources that we would expect them to give to a community college.

Even without support from larger sources, community college leaders were adamant about the success of their students – “But we are here for the long term success of our students, so we have to build partnerships, and hope to gain equal access.”

History

Community colleges, in Texas especially, have been acknowledged for many years. Their rich history, stability and significance have added to the foundation of the community and more so to the citizens they serve. Because of this alignment, many participants thought that history played a key role in the lasting success of their annual projects. Several institutions were established for the expressed purpose of serving the needs of a given industry....

And yes we were actually founded, by that company which was a very integral part of the beginning of the college. The college started during the depression. Why did it start during the depression; because the company wanted it too. And they didn't want people necessarily to go away to college, and they needed

trained employees. So they started the college.

By a show of support and their assistance towards long lasting growth to the college, community leaders reinforced commitments cemented from historical relationships.

Well, if we are going to have a college, we need to support it. So we support it through the tax dollars, but we also want our employees to give to the college, so that people that don't have the money to go can go to college and still become our good employees.

Not only did companies see the need to establish everlasting relationships due to a historical presence of the college, individuals within the community did so as well. Several participants mentioned how local residents yielded support because of a given historical relationship. One staff members remembered a family whose children has attended the college many years ago and related the following. After receiving a call from a local attorney...

He said it is not only this gentleman's money but family money also. I called this gentleman and introduced myself. They knew who I was, but said we has never met. He mentioned how his family was the original home builders in this whole area, and this gentleman has subdivisions up on the north side of Houston and he lives down here. Because his children had attended here all those years, he wanted to endow a scholarship in his wife's name. He and his family were responsible for many of the homes bought by our early administrators.

College leaders stated that history was a significant input towards the fundraising process.

Organizational

Organizational leaders can be community leaders as well. They are not limited to their college roles. However, their identity is more shared with the institution and their leadership role is vital to the success of all members of the community – both the institution and surrounding community. The organization exists to satisfy the needs of the community it serves. It will serve best by being aware of those needs, involvement in local activities, putting leadership in place to interact with local leaders and by seeking out opportunities to serve and or unravel needs within the community.

Leadership

Long-term relationships were seen as a result of leadership from all areas of the college. This infusion aided overall success and accomplishment at both the community and college levels. The degree to which leadership decisions were exerted yielded better than expected results. One foundation director revealed that decisions by donors to give bigger donations are guided by leadership, as a starting point, for building relationships so as to bring in bigger dollars...

I'm tending to think of gifts that are more significant than \$5000.00 or \$10,000 dollars. So that is really what it is all about. Annual giving in the foundation for me is bringing in some dollars, but it is more important that leadership Decisions are able to be made on a lower level to influence those donations as well.

Equally important was the ability of the institution to demonstrate leadership when it came to the foundation. Besides being an independent and self-supporting unit within the college, the foundation plays a major role for the college. As a unit...

well the Foundation is a 501C3, independent. It does have an independent audit every year. They do nothing with anybody's salary up at the college. The college supports my salary, 100 percent, as well as the Foundation secretary.

Foundation leadership can come from various sources. And therefore, board members can be elected from all sectors of the institution or community. As a result, one college elected to include a faculty member, who understood that they were not getting paid for their services to the foundation board...

we also have a faculty member who serves on the board, the foundation board. And, it is so that is a service to the college, but there is no remuneration, no partial pay or money or anything.

Hence, by having a faculty as a board member, board leadership is more attentive to institutional, student and faculty needs. In addition, faculty at one college was better positioned to build relationships as a result of having a connection on the foundation board....

what happened was we have a faculty member who has been at the college for many years; he has been head of our honors program for a number of years, probably twenty of those. And the honors program just has an outstanding reputation. So, that's, because of that this man has a great reputation in the community, well loved and they agreed to endow the chair with the goal of 100 thousand dollars, and we got 150 thousand and now people can give to it annually. I think it makes sense; it goes through the Foundation, because his works directly impacts the students.

Experience and Background

Furthermore, in the same way that leadership was shown as a much needed input, both the experiences and backgrounds of participants were also highly valued as an organizational theme. As an illustration, a foundation director spoke of the chronological development which led to her current position...

I am the foundation director. I have been here about two, over two and a half years, not quite three. I have a long history of working in higher education, along the way I did some nonprofit fundraising. I also have done a variety of things in the nonprofit world, marketing, grant writing, fundraising. So I came into this job having had a pretty varied experience.

Likewise, one of the presidents added that experience has helped to strengthen relations with community leaders...

It has been helpful. I try to meet with most of them annually, one on one. Now we may get together you know in small groups all the time, but to meet with them, each plant manager, at least once a year.

To add even more, foundation staff shared information as to how the college and the annual giving process benefited from their experience and background

...Um, so I spend a lot of time not just at the foundation, but as a representative of the college, I also assist the president, so I kind of wear a dual hat there. I am on several boards; I serve on different committees in the community just because I feel like it is important for us to give back as much as we ask.

When asked if the college was represented by all administrators and if top administrators exerted leadership which gained support, not all faculty thought this was the case.

I don't know. That is a very big question to answer. I don't know where they fit in but there has to be a role for that. I know that if you are having a college-wide event, I know the board members time may be tight but once in a while some of them may show up, making the event; administration may show up. I know these are busy people but it doesn't preclude them from showing up from time -to-time. After all we are the community, the college community. Those are the people who should show up and participate in those things.

Consequently, inputs - institutional leadership, experience and background - play a main role in successful annual giving programs.

Operational

Successful colleges have a vision supported by the climate, culture and politics present at the institution. When operational aspects are understood, they can either represent the "lion's share" towards success to the organization or hinder progress toward institutionalization of goals. Even more, organizing events without proper planning and appropriate technology can impede and otherwise contribute to unsuccessful efforts.

Planning

Operational inputs contribute to success when allowed to contribute. All participants mentioned proper planning and current technology use as major factors. A foundation director explained how suitable planning worked for their purposes,

We planned to work with them, [DuPont], through a grant to do some training and professional development for their incumbent work force; it was over 236 thousand of their employees, whatever it was. So that to me was a well planned partnership, and the help from all of the college supported the faculty, supported the program, and supported the students. That's what good planning can do.

Technology

All foundation directors viewed proper planning as successful when coupled with a form of technology. Whether it was the memory of a staff member..., just as useful as the data base, is her institutional memory. She's from here. She knows everybody, lived here, went to school here, worked in the local school district, three of my kids have gone to school here..., *a simple spreadsheet...*, Excel is what we use. It's not very inexpensive. It's not the donor software, but it meets our needs. It's not the best, so we make it work. It just works for us..., *or an elaborate data mining program ...*, at least right now there are multiple databases. The advancement portion of the program has been rewritten and the college has been on it now for two years we wanted the newest version of it out. We expect the new program to work just fine... *technology was an important input towards annual giving success.*

Processes

Financial

Communications

A culture of communication was discovered as a central process within all institutions visited through both annual reports and intimate business meetings. From

president to staff, participants realized that communication is everyone's business. In the same way an annual report was given to represent the health of the college to generate future support...

We do annual reports that go out and it's from the Foundation and the college that is, it provides all the updates that year. Usually the annual report comes out and should be coming out pretty soon. You know, I give a little bit of an overview there on some things, on the annual scholarship breakfast, how the foundation is doing and any projects we are working on. And then the annual report will come out.

Meetings with small business groups were perceived to generate future financial significance. There was a clear distinction between hosting large community meetings as opposed to small intimate lunches with community business leaders.

Let me tell you something else I do. I do have plant managers come for lunch, and I bring them here for small meetings. It's more a "tell me about what's going on in your company. What are your needs, for hiring what fields are you preparing for"? I try to meet with most of them annually, one on one. We may get together, you know in small groups all the time. But to meet with them, each plant manager, I try too, at least once a year. That kind of stuff. It has been helpful...

At least one college leader believed that communications with a smaller capital audience of direct supporters, compared to a larger group of undecided supports, amplified the development process towards long-term financial development.

Another interesting comment was related to this researcher concerning communication by a foundation staff member, who “still” believed in the power of a telephone call...

calling is critical to the success of the event. Calling takes great effort. Thank you’s and calling is critical to success, education about the foundation is critical to success. Personal contacts, talking to people, live people, telling them what we do is critical, more than any technology that we could use.

All interviewees agreed that communications –in various forms- was a critical factor towards the financial process.

Relationships

While study participants were expressive regarding their relationships at the college, many times those relationships were extended into areas outside of the college environment. One foundation director and staff commented...

Because we are so involved in this community, you know, we want to connect with the kids, and of course connecting with the kids connects with the parents. But something that sticks in the parents’ minds is whenever we go to a function and we are always telling the parents.

Several participants related how they had established both business and community relationships. One such interaction was with a particular donor who contributed to more than a few student scholarships. She mentioned,

Occasionally we help, we have helped particular donors who needed help in raising money for a particular scholarship fund and she set up a book scholarship

for our students. That fund is now quite an endowment. I don't think that she would have done that if we did not have some sort of relations.

Urban area colleges were mentioned as less intimate than small town environments. This became evident after a faculty member stated ...

People cannot give to what they are not aware of. People cannot give to things they do not know about. You got to make them know about it. You gotta make them know what you do. Why they should give. So those are the things. Well hopefully the foundation office could do a better job at doing these things within this city.

Participants from small towns emphasized how their relationships fueled the process towards continuing support...

I think in a small town is more important sometimes than in a larger city to get support by building on your relationships. Things like going to the high school awards, we make sure there is a foundation board member who goes. Especially, if there is a high school awards night and somebody is getting one of our scholarships.

Additionally, one president – from a small town – stated,

we have also made a very concerted effort to be a part of the community too, so I have lots of staff who participate on civic boards and in doing so, we, the college, benefits from their relationships.

Events

When this theme was revealed, this researcher related to study participants; as he too was involved in numerous special events supporting both students and the

institution. Study participants stated that events stimulated the process of long-term support. Staff and faculty participation, in either planning or contributing financially, aided in college exposure. As on foundation director stated ...

It has been a challenge since then, but we came through it with flying colors and made a very nice profit off that particular gala. We established several scholarships, whereby each year we name anywhere from five to seven individuals in the community. By having annual events, we have become known in this community.

Besides staff and faculty involvement, college leaders realized that events contribute to the overall financial success of the institution. One president commented...

we try to get as many people to come to the golf tournament and to the gala, and we try to take that opportunity to tell people they can help. This is how much it takes for students to go to school here. If you could give \$5,000; if 5 of you give \$5,000 then that helps a student. It is a lot of work, the annual giving that we have been the most successful at; we have three major fundraisers. One is the annual golf tournament it raised \$65,000 this past year, the other is the gala. I think that the gala is our biggest fundraiser. And I think that we probably raised \$125-135,000, I don't remember actually how much. And I can't forget our annual staff event, which all of the staff usually contributes to.

While events were used to create interest and fuel the giving process, one foundation member comments lead this research to believe ...

board members want to ask for small amounts from each potential donor, rather than larger amounts, like \$500 dollars. We can always have private events and

opportunities to raise funds rather than having more events. We must get away from 1992 thinking - dinners at homes and the country club are ways we can do that - lets create our own events.

Activities

Each institution participated in some major annual activity. Study participants listed an assortment of activities or projects which added to their process of fundraising. For instance, yearly activities were listed as scholarship luncheons, honors programs, scholarship breakfasts, fishing tournaments and planned giving society. In similar fashion, golf tournaments were also scheduled once a year. As one foundation director remarked ...

we plan a student conference each year, student who go can apply for a \$500 dollar grant to help underwrite their travel to the leadership conference and that sort of thing, because they don't have that much in their student activity.

Another foundation director and staff commented on their scholarship breakfast activity...

we have a scholarship breakfast every year, and at that breakfast all of the people who have given scholarships are invited and the students who have received scholarships that year, and they get to meet. This is an annual event. We have it every spring, usually February or March timeline.

Annual activities were used to establish relationships. Several presidents used the term "friend raising" in reference to these activities ... "we have a couple of annual what I would call "friend raisers" which has lead to, at this point, one very significant gift." And as away to build on this support, a nearby college planned an annual fishing

tournament because the community wanted the activity – and would support it with donations for student scholarships...

we had people tell us that yes, people liked to underwrite fishing tournaments, and we could go get sponsors. It opened up a whole other level of people who can give donations for student scholarships to the college and to the foundation.

Mini-campaigns and planned giving societies were seen as activities which promoted the annual giving process...

one president illustrated, what we are planning to do is start a planned giving society, and that way they will just be a member. We understand that there are others out in the community who have already done this.

Lastly, as a way to promote itself several times during the year, one college initiated bi-annual mini-campaigns as an alternative to any one annual giving activity...

our giving is organized more on the basis of needs that are identified on an annual or bi-annual basis, and so it more like campaigns and mini-campaigns, mini campaigns, rather than really doing an annual fund and annual giving.

Structural

Communications

Study participants expressed a need to have their community informed about needs for future financial aid through public relations campaigns to raise foundation visibility. As one foundation director remarked...

real requests is what we need –elevate the visibility of the college and foundation, but we cannot raise the visibility without communicating this need

to the community, we need to raise the awareness of the needs to a higher level.

We have to set those standards.

An initial press release to the community regarding a need to support an endowed chair was communicated by one foundation director...

we are well associated with the media in the area. For example, when we have the scholarship breakfast, the Baytown Sun, which is our local newspaper, and the other local newspapers in the smaller communities are there and they are taking pictures, and it is in the newspapers.

Through the use of press releases and word of mouth one college was supported beyond expectation...

but the thing that surprised me most, and probably taught me the most about communicating with the community and fundraising, was the endowed chair. The reason why I say that is because that was a first for the college, and I wasn't sure how well it would be accepted to support a faculty member, and it really taught me that by letting people know what you need, you will find what people are interested in giving - and they wanted to give to the endowed chair.

Relationships

Participants mentioned several instances regarding community interactions. These relationships or interactions were established through a process which involved placing the college face-to-face with their community. Several instances involved relations with local newspapers ...

we have a gala which raises money for scholarships, and that gets a lot of local press. We have underwriters, and so they will go take pictures of the underwriters and put it in the newspaper and those types of things get into the community.

To put it another way, institutional relationships were established by just simply communicating with people they knew in the community...

You know, you just are doing it, you're talking to people, there's the communications you're talking about, just in the community at rotary club or at chamber, or at wherever it happens to be. I mean, one person, he really, came to the table with almost fifty thousand dollars, who had never given us that much money before. And, you know, so you're talking almost a third of that endowment was from one person just because you let them know what you needed. Now, that's what I call the power of relationships!

Awareness

The community was not always responsive to the needs of the institution, as relayed by several participants. If the community was not informed and aware of financial needs or student scholarships, i.e., participants mentioned a variety of methods to inform them. One foundation staff member stated... "unless donors understand your needs, they have really not reason to give to your or what you are doing." A second mentioned ... "making donors aware of both program and college needs, helps to build support over a period of time." Additionally, a foundation director explained,...

I think the key word in fundraising is communication, and its a two way street.

You have to listen a lot also. Then make them aware of what you can do with

their money, and how they are helping the students. What you're trying to do is match, you know, donors who want to have an impact with something that's aligned with their values.

Even more important was the necessity of college leaders to communicate future events as part of an inter-organizational campaign to make the community aware of institutional needs. As one president related ...

I knew that was true, but to actually see it happen was something that was remarkable; you had to explain to the community, first of all. They understand capital campaign; they didn't understand always why you need it. And so you had to explain that, and then once they understood it they either loved the idea or they didn't, but boy we had some people that really just jumped right on it. We ended up with about one hundred and fifty thousand dollars.

According to one foundation staff interviewee who stated that working on foundation projects was one of their most rewarding jobs since being with the college,

I love working on all foundation activities, golf tournament, scholarship events, sending brochures to everyone who has past participation; letting them know what sponsorships available, collecting money to sponsor scholarships and district programs; calling and talking with staff development faculty and staff. It's all about letting them know; yes to answer your question, I guess its all makes them aware of what we need.

Organizational

Awareness

Organizational awareness was communicated by college leaders to a focused audience, usually through the process of interpersonal communications. They realized that the more publicity the community became aware of, the more likely they would support the college, student, and staff needs. Not only did the college become aware of business needs; business also became aware of institutional needs.

As stated by one president, business must become aware of college programs which can assist their needs...

and when the businesses arrive in the city, they want to know what's your education course, what does that look like? And our students, once they receive their associates degrees or certificates, they're not going to leave the city. They are going to stay right here and make a significant contribution to themselves and to their families, and business in addition to the city.

Several participants mentioned that the college has something for everyone, but the community must be made aware of what the college offers...

there's pretty much something here for everyone in that regard, but it's also an "uphill battle" educating the community about community colleges. You know people don't understand how many college graduates go to community colleges, and how vital they are to the economy.

Interestingly enough, one foundation director was aware of "personal dress" as a critical factor in their community because:

you are always on; you always have to be aware of your appearance. Whether you're in the grocery store or whether you're standing up to speak at the gala, you're always on. You're the representative for the college, so you always have to be concerned with how you look, what you do, and what you say.

Involvement

A high degree of presidential involvement was seen as essential to organizational success. Commitment from the president was reported as significant. When asked about their involvement, participating presidents were very open. As one individual pointed out ...whether,

it be a corporate or whether it be an individual, it is the same process. It is the involvement with the individual at the corporation. Without some contact, they are not in the business of giving grants, they are in the business of making plastics, or they are in the business of refining oil, but they also give money and it is usually to some institution where there is a connection.

When staff was asked if they viewed presidential involvement as a major aspect towards annual giving, replies were in the affirmative. According to an interviewee ...

and that is what I found out annual giving does, it lays the platform for the next gift. By the president being involved in the process, it sets them [donor] up for thinking about the next step. So we will have an annual campaign that is a paper and pen solicitation, and we may, I think last year we raised 50 or 60 thousand dollars, which isn't a lot of money but all of those donors that sent in money are now owners in this company, To me, that is a significant gift, and it will happen

year in and year out. Whether it's my president involved or not, it is just something they [donors] want to do.

Collaborations

Innovative collaborations were created by all institutions. The degree to which these were significant and effective depended on each organizational unit. One college mentioned a collaboration influenced by a connection to work force education. Additionally, one president stated that it takes “very strong people and experienced administrators running the operations of the college to form strong collaborations”.

Study participants were quite adamant that both college and foundation board members should play more of a major role when seeking collaborations. They recommended that scholarship activities should ...

have both the foundation involved and community, so we try and always bring in not only internal foundation board members but go out into the community and bring in key stake holders as well. By forming a partnership with donors in this community, we were able to meet our goal of an endowment of 2 million dollars. That it is well worth the investment of time I am interested in is making sure that their investment gives back what they need, whether it is a corporation or small business, because we are building lives together.

Another form of collaboration involved in-kind donations – materials or equipment instead of monetary donations – which were needed by an institution in order for a particular program to succeed. Partnerships of this kind were initiated at several institutions and found by interviewees as an efficient measure to alleviate unnecessary spending. As one staff interviewee stated regarding a new program...

Analyzer Trainer is a technical program that is a subset of instrumentation, it is one of the petrochemical needs, and an analyzer is a specific kind of instrumentation. So it's a new program and was identified as a need. One way that we have tried to help that program get off the ground is to write a grant for it. We also have sought donations from industries that need these analyzer technicians, and we have gotten really strong support for that, mostly in-kind donations and other materials, but also scholarships and that kind of thing.

This researcher concluded that the importance of collaborative partnerships depended more on the individual need of the institution – whether for programs or for staff support.

Operational

Events

Operational events were centered more so to highlight the institution, rather than any a particular activity. When asked about institutional events to draw attention to the campus an interviewee stated,...”we also have special events that we do, we have sponsored events that we do that raise money and we set our annual goal, but are not necessarily targeted as annual campaigns.” As well as non – targeted fundraising - events, there were responses as to the reasons as to why events should be held – to show off the college was a popular non- fundraising event answer. As a faculty member commented...

we need more people to know that we are here, we need more events here. Businesses would sponsor it, and advertise it. Beat people over the head with it so they would know these things are happening at the college. And from these

kinds of activities going on people would come to expect it. They would come to support them.

College events involved numerous activities and a large audience from the community usually was involved.

Events were arranged by different associations, groups, and or part of the community usually attended. Because different organizations sponsored the events, several presidents mentioned a “measured concern” regarding their underlying political attachments. As one president remarked...

we have to be careful about what events we do have or sponsor or get involved in. So you have to be careful about that, again as I mentioned earlier, it is not only money raising it is friend raising; it is not just the annual giving, it is the tax increases that you might have, it is tuition increases that you might have or its bonds where you need their support. We can't be seen as supporting ideals the community may not want. These days you have to know much more about events and individuals than you what to – I guess.

Events were seen as either good towards the fundraising process or as an action with a political agenda and one to avoid.

Activities

Similar to events, college activities was a theme which quickly emerged. Institutional activities ranged from purely fundraising to community sponsored. Specifically, those which involved more college leadership were mentioned as needed in order to create interest in the college and to build a better reputation within the community. After a successful capital campaign, one foundation director stated...

so I think that has been one of the strengths of our president is to integrate the community with the college, whereas previously I think there was not that strong connection. So I think it, you can't say it has the work of the foundation, it has been the work of the president.

College activities were not all welcomed and well received, when it came to community involvement. In fact, one president responded...

well, we set down a goal of raising five million dollars and no one in the county had ever raised more than two million, and that was for the cancer center. People thought "you are crazy", "can't be done", but we did it, and we don't do them often, but having that first initial success did an incredible amount of good.

And finally, another interviewee commented that college activities are "an inter-related" and...

I can't keep those separated, because it is another form of resource development, and it is one that I will utilize often. Because of these activities, it will probably take us fifteen years to build out the 70 million, but we won't be going back to the voters.

Awareness

Effective college events and activities laid the groundwork for annual giving campaign success. Several institutions mentioned, very responsively, as to how the community embraced them following a given activity or event. When asked about whether the community was more or less aware of their needs after an activity or event, one foundation director added...

But it was just an overwhelming response, and we feel like as the community gets to know us, and understand that we have stuff for their [community] students, that we can get stuff for their [business] programs, that we're here to support what their needs are, that they will be in touch with us as often as we're in touch with them.

A faculty member stated that the college should definitely build from the momentum gained from activities and events to increase institutional awareness. This statement further illustrates challenges that larger colleges often face when they are not the only local “school”, in contrast to a college in a smaller town or city.

... If we were just the main educational institution in an area this would be the center of culture. We should try to create a collegial atmosphere. Get people from the community involved; make them more aware of our college.

Lastly, institutional awareness was related to the “first impression” theory - “You only get one chance to impress the first time”. Several study participants mentioned that no other factor mattered, if the institution was not seen as a clean place. They commented on the clean and pressed uniforms of security guards, the finely mowed lawns and the interior cleanliness of classrooms, as factors which “outsiders”, “company” and “our neighbors” would be aware - if they were not up to standards . One foundation director stated it best...

well, I've cleaned toilets on Sunday afternoons alongside the executive director, who's a full Ph.D., because Monday morning at 7:00 I had a group of people coming, and the cleaning staff wouldn't get there in time to clean. He was cleaning the refrigerator out, and vacuuming the floors because it was more

important that we spend our time making sure the areas were 100 percent correct.

People coming the next day would be quite aware that it was not clean. I've done everything.

All participants spoke of awareness - image and appearance - as a high priority for the institution especially as a means to emphasize quality as expected by the community in which they served.

Outputs

Financial

Relationships and Access

As this researcher was analyzing the data and collecting and organizing the information, he was reminded of a statement by another individual, who said... "it is not what you know, but sometimes who you know that makes the difference in building relationships...." In a study of consumer behavior in the medical field, Penchansky and Thomas define access as a factor which influences entry or use of resources (1981). Their discussions and references to economic and social status, along with statements on wealth and relationships point to a belief that relationships are the building blocks for access to needed resources.

It was apparent, given the comments of several participants, that they also felt that relationships were an established means to access needed resources. According to participants, financial relationships could assist the institution to elevate its image while attracting much needed student scholarship funding ...

you can make a realignment in terms of your vision, and its not that you're trying to sell out the institution, but what you're essentially trying to do is create a life

line for the institution, the life blood of the institution, by raising additional financial support, which allows you the flexibility to do more innovative and creative things for students.

Additionally, statements were made as to the importance of donor relationships as a means to access their resources...

well, the only way you get money is by getting the word out. If you don't ask for money they are not going to give it to you. If you don't ask, they are not going to give it to you. And letting people know what we do with the money and the impact of their giving is what we have to do.

As one foundation staff remarked on donor reactions, it helped to underscore a most important factor of relationships and access.... "They know that we are out here, now they call us to make donations which they hadn't done before."

This theme surfaced after participants mentioned numerous occurrences supported by direct access within the community. Relationships and access were seen as important to establish financial contacts, as a president said,

I've mentioned you know the companies, but Exxon Mobile Education Foundation, its part of Exxon Mobile. That particular foundation matches our gifts, and so if a person gives a dollar, Exxon Mobile gives three dollars. So it is a 3 to 1 match, huge. It is really helpful for us as a college.

Structural

Relationships

It would be nearly impossible to build long-term success without understanding the relationship the college has to its surrounding community. These relationships can be

political, cultural, and can be governed by “hidden” organizational policies. Given these challenges, institutions have learned to establish financial relationships within the community in numerous ways. Examples include, tree plantings as memorials; recycling projects with the city; building-naming projects which included frequent donor recognition possibilities. A foundation director commented that donor recognition was an absolute necessity for the institution to build lasting support...

But also we do a lot of recognition, donor walls, and so the wall will have everybody's name, so even if you don't give a significant amount of money to have your name on a room, or a building your name goes on the donor wall. So anyone that gives you something will be recognized in that way

Organizational

Relationships

Just as important as structural relationships, organizational relationships share equal significance as a major output. One presidents mentioned the significance of relationships to donors...

what you're trying to do is match you know donors who want to have an impact with something that's aligned with their values, and how they want their money used, and You know with any kind of fundraising. Yet another participant remarked... Say you develop a relationship, whether it be a corporate or whether it be an individual, it is the same process.... you use exactly the same process that you do on fundraising...it is relationship building.

Presidential knowledge was a key factor towards relationships building, especially when the focus was on a particular program or student need....

I just got a phone call one day from a man who I know fairly well, but not that well, and he said, “I want to give the college one hundred thousand dollars and I don’t really know what for, except that I want to give the college, because its meant so much to me and my family, and I want it to probably be nursing related.” I said, rather than giving a hundred thousand dollars in scholarships, how about you give one scholarship which will be ten thousand dollars then, one to the nursing department, because it always needs some updated equipment. Put in the corpus, but from the endowment, that way the interest from the endowment, will support faculty members and they can choose to buy some equipment each year. And he said, “that sounds good”

Study participants also expressed a need for open relationships and communications with college administration. As one foundation director stated...

we have a great working relationship. Whenever I need him he is there. I regularly schedule a meeting with him and go over and meet with him, update him of what’s going over here on our side of the street. So we don’t get into some of those political battles you see on a typical college campus.

And finally, a staff member commented that relationships are the final outcome of any given endeavor; by saying... “relationships. Its friend raising, you’ve probably heard that before. But it is; it is about relationships”.

Collaborations

Collaborations and partnerships with the community, business, and state were seen as necessary at several institutions. These activities were structured over time and for specific purposes. As an output, this theme was singled out among many others as

significant. Several colleges alluded to partnerships with local business to provide assistance in exchange for either building space, personnel on loan programs and/or in-kind gifts to assist with ongoing instruction.

Partnerships were also mentioned in reference to long-term grant support. Several participants shared that their particular institution was engaged in grant support of local industry as a means to contribute to their needs. Grants were written for numerous special programs...

so that's a new program that was identified as a need. So what we have done in trying to help that program get off the ground was to write a grant for it, that would be the federal part, but we also have sought donations, mostly in kind donations.

A foundation staff member commented that by working with local business partners through grants, students would have additional employment opportunities...

and we have a couple of state programs that they're meant to develop a pipeline of students for a particular field, and so we can offer, we get some of that state money and then we can use it for scholarships. Out of those partnerships, well, I mean we've got internships set up in companies that weren't set up before for our students scholarships that have been set up through the companies.

Operational

Involvement

Involvement as an output was also among the highest mentioned. All participants stated that community involvement, business involvement and donor involvement were needed towards annual giving success. When institutions involved the community,

business and local philanthropists in campus activities, they were less likely to refuse an invitation to participate in further events. A college president observed that....

you never know when you're talking to people who will be that person. The drama instructor brought them over... they were not previous donors.... they could name the children's center... their involvement has opened the door to a two million dollar gift for our capital club... and it also means a lot more to them, because you know the people, and you know how much they care about the college, so it really is about the people involved.

Awareness

While it may be true that involving the donor is crucial, raising their level of awareness was also valued as a necessary output. Participants mentioned how raising a donor's level of awareness for programs, supplies, finances, etc., helped to benefit the institution. Donors were most aware of student needs at a college. This one factor allowed current and future donors to assist the college towards students with financial needs, personal employment and/or just transportation. One faculty commented about the need to make donors aware of a students personal transportation needs. She said,

you know, they come here to take courses; well sometimes transportation is a problem, so the foundation is working with corporations trying to arrange for transportation. That's something we're working on. We already have several donors, and those scholarships are being given out as they are needed. Donors just have to be made aware of what we need.

Theoretical Review

This study contains the following theories and as such was incorporated into the *free-flowing* conversations with Presidents, Foundation Directors, Foundation Staff and Faculty. After reviewing major themes, this researcher found results to be consistent with the review of literature and primary references for these theories in Chapter Two. This review is based on James Gruning's (1992) research which underscored the importance of "building relationships with publics that constrain or enhance the ability of the organization to meet its mission"; Van de Ven's (1984) studies on "interorganizational" relationships (IOR) which states, "(IOR) occurs when two or more organizations transact resources (money, physical facilities, and materials, customer and client referrals, technical staff services) among each other" (van de ven, p. 25). And lastly, Berger, in Heath and Bryant (2000), suggest, if people are to successfully calculate and exchange what is appropriate to achieve a strong relationship, they must use communication tactics.

Communications

Communication was ongoing and multidirectional and was used as a tool to encourage colleges to define their roles in the annual giving process. All participants were open to the suggestion that they were given adequate amounts of information regarding annual giving and fundraising activities at their institutions. By being informed at the college level, this "interpersonal" aspect aided their personal involvement while creating a more meaningful connection towards the overall success of the activities they were involved in.

Time in Community

The process of fundraising requires an abundant amount of time. Institutional leaders should be aware of the different roles they are required to plan when building relationships to raise funds. Besides, as the leader of the college or foundation, donors expect to meet with either the president or executive director of the college foundation when ready to support the institution.

Interpersonal

Interpersonal relationships were abundantly common in all communities. Faculty, staff, foundation directors, and the presidents were all engaged in their communities. Communication with faculty was another example of an interpersonal relationship established within the institution. Additionally, presidents were expected to meet major donors, arrange for support of special programs and build overall successful interpersonal networks.

Inter-organizational

Just as van de ven's (1984) definition of "interorganizational" relationships (IOR) states, "(IOR) occurs when two or more organizations transact resources". Interorganizational relationships were plentiful and deeply established in all communities. Presidents interacted with heads of local business, foundation staff attended high school scholarship award celebrations, and foundation board members were on hand to present college materials at community events – all as a part to further and strengthen lasting relationships.

Public Relations

In strategic public relations the term “Publics” is used to describe “any group of people who share interests or concerns” (Johnston & Zawawi 2004). Finding for this theory was consistent with Chapter Two. While all institutions relied on some form of public relations campaign, it was still apparent that institutional leadership was far more involved to inform the community of their involvement than they may have stated. One director, who was a member of the local American Business Woman’s Association Chapter, stated... “I always make sure that if I’m giving advice I’m doing it as more like a consultant than going out there and actually doing.” This statement is consistent with the finding in Chapter Four.

Additionally, staff reputation in the community was central to the public relations process. Their involvement “always put them in front of people”. Public relations was responsible for an elevation of college visibility and institutional needs.

Organizational Behavior

The literature review in Chapter Two is consistent with these findings. One reasons that climate consists of traits that are the product of the structure and operations of an organization, not of the people in the organization (Tagiuri, 1968).

Leadership

Leadership was less clearly defined in the scope of this study, perhaps because the researcher did not ask specific questions regarding leadership style. Although themes regarding leadership did emerge, contrary to popular belief, it may not be the one prevailing factor critical to all annual giving and fundraising success activities. Leadership as a theme emerged on all levels, and with all participants through free-

flowing conversations. The inclusion of leadership references at all levels suggest that participants felt included and empowered as decision makers in overall aspects of their involvement in annual giving or activities therein. This behavior may be more “followership” than an entirely redefined function away from any leadership style. (Kelley, 1992). It was argued by proponents of “followership” that the success of any group or organization depends not only on the basis of how well leaders lead, but also on the basis of how well followers follow. Moreover, follower perceptions of leaders were considered to have a significant impact on the effectiveness of those in leadership positions. Currently, it is generally accepted that followers play an active role in the leadership-follower relationship. (Rost, 1991).

Organizational Leadership

As organizations communicate outwardly, they provide information and influence aimed at shaping judgments and behaviors of people who are not their members (Huber & Daft, 1987). Consistent with Chapter Two, organizational leaders revealed that they had the best interest of the institution at hand. By giving of their time to local events, foundation board members sought to create and foster long term institutional support. Faculty members serving on the foundation board facilitated change and personified their overall belief in the institution.

Similarly, presidential leadership embodied principles which helped to shape culture, as well as, establish a productive environment – through donor recognition, building on historical relationships, and acknowledgement of major gifts.

Culture

Moore (2003) provided a foundation for determining an educational philosophy by explaining that education is a social function and in a formal setting breeds a certain culture, which should be free and unencumbered. Education should provide every individual with freedom from physical, social, and emotional ignorance. How our college provides these opportunities with shrinking state revenues and rising costs and measures our effectiveness is our greatest challenge (personal communications, May, 2003).

As pointed out by Celia Wolf-Divine (1997), the lack of culture will impoverish and narrow the lives of students. She further adds, “that community colleges can help students to gather a better sense of culture and tradition which will enhance their lives as effective citizens,” (p113). The institution will be led by the kind of culture and traditions it creates. Therefore the leader will influence culture and culture will define leadership (Chaffee & Tierney, 1988).

For community college leaders, with the ability to influence an entire organization and future generation, it would be a once in a lifetime opportunity to see students emerge in society with a more profound appreciation for diversity and the traditions of other ethnic populations (Smith, 2002).

Climate

Climate is based on traits of the company that are revealed by what occurs during its activities (how people act toward and react to one another) and the relationships that develop between them (Heath, 2000). A college president’s statements were consistent

with literature found in Chapter Two. He stated that his surrounding community was worried about the outcome from the change of diversity [more minorities moving in] to the area....

we have students up here that are in college because they want to have a better life. You're worried about crime and all that other crap you're worried about, and then give them that education and you won't have that problem. Lets create a better climate than what they are used too.

Politics

This theory was in harmony with literature reviewed in Chapter Two. Foundations should be more comprehensive organizations by expanding professional staff, developing marketing programs, and adding to community support by increasing the number of members that are not trustees (Keener, Ryan, & Smith, 1991).

After all groups are satisfied, appropriate policies will be established to include the mission, vision and values best suited for political success within the organization (Fowler, 2000) However, as Dr. Walter Bumphus said, "Not all groups will be politically satisfied. You will have to become as politically savvy as possible in order to work with all of them" (Personal communications, 2004).

Therefore, the president and policymakers will engage in interactions to become familiar with the competing interests, preferences and needs of the individuals and interest groups within the college and community. Presidents engaged in monthly meetings with major donors, community and business leaders, along with the college community to inform, listen and develop consistent and long lasting support.

Practical Implications

It is all about relationships.

While engaged in this process, this researcher was confronted with several advertisements which used the phrase or statement “relationship”. An advertisement for a tire company said, “we want a relationship with you”; yet another business operation, a local banking institution, charmed, “start the right relationship with us”. Still, a new car company stated, “it all about relationships”. And who could forget the *Pepsi Cola - Diet Pepsi* - commercial made famous by the late, legendary R&B singer, Ray Charles. In which he crooned, “You got the right one baby.” This one-liner became the soul and body of what it meant to have a “relationship” while drinking a Diet Pepsi Cola. In fact, as this study progressed, and after the observation was made by Dr. Norvell Northcutt, this researcher began to see a very well-defined connection between the research at hand and the branding of numerous products with the “tag line” including the phrase “relationships”. Therefore, this researcher has concluded “it is all about relationships”; especially when annual giving and fundraising are the expected outcomes.

Relationships are Everything- Inputs and Processes

What does it all mean?

In response to research question one - what are the necessary “inputs” (financial, structural, organizational, and operational) of a successful community college annual fundraising program? According to responses, the following were identified for each function as an “input” or a “process”. Financial input functions included an available and relevant initial plan to support the institution. Financial processes functions included

communicating with all stakeholders (i.e., community, business, donors, and staff), building long-term relationships, and creating appropriate events applicable to institutional outcomes and donor needs in addition to activities which demonstrated that the institution benefited from giving.

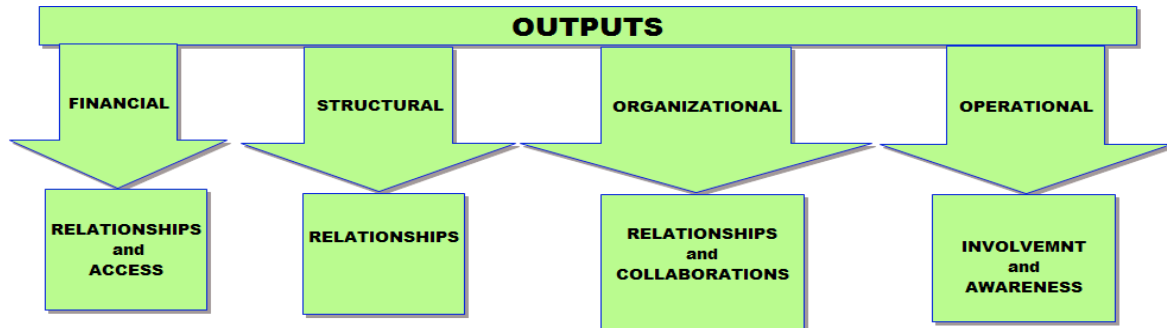
Structural functions suggest that the existence of a college within a community, size of the foundation staff, extensive history along with self-support are input factors which promote overall recognition; and are processed to the community by appropriate communications, image and self-awareness along with constant relationship building. the result is to build a, brand identity within the community.

Organizational functions are characterized as a strategic plan to use the experiences and backgrounds of organization leaders towards fundraising success. Through the process of establishing collaborative partnerships with local business which yields either financial (actual dollars donated) or in-kind giving (i.e., machinery, computer technology an or company personnel on loan); long-term collaborative ventures to support students and institutional programs; along with the use of foundation board members, college board members and faculty and staff leadership to create awareness for much needed support from their community.

Operational functions clearly articulate the need of an institution to have grounded and sound planning practices by utilizing appropriate technology. As an input, this function conveys institutional image, appropriate communications, and through an integrated planning process, enhances communications regarding community events at the same time highlighting institutional activities.

Relationships are Everything – Outputs

Here is what you need in the end; here is what it looks like in the end.



With regards to research question two - what are the indicators (outputs) of a successful community college annual fundraising program? – the challenge was to not only answer the question but supplement the findings with a broad base of support materials. This researcher can state that the most successful annual giving fundraising programs are based on numerous relationships. “Relationships are everything”.

Again according to participant responses, several broad themes emerged and were aligned with functions considered necessary indicators (outputs) of a successful annual giving program. The financial function included relationships and access. As an output, this theme was much necessary to secure much needed donor support. Not only is it important to get to know those whom may support the institution; it is also essential that those relations give access to long-term and generous institutional support. Case in point, one college president referred to a local plant manager, who was instrumental in giving their collage much needed supplies for a new program. The supplies came from an associate of the plant manager. And hence, institutions need these avenues of access when the need arises for such equipment and which are considered in-kind gifts.

As the community becomes increasingly aware of the value that the college represents and is invited into the college environment to participate in either events or a specific activity, the college begins to become a central focal point within the community. When a college was the central focus, communities begin to brand the institution as “their college”. Brand identity was established by several colleges. Several participants referred to the college as “my college” while community participants referred to the institution as “our college.” Moreover, this researcher gained from participants at smaller institutions that donor stewardship held greater significance than at larger institutions. However, as stated earlier, statements regarding close relationships were recorded when smaller institutions were in the spotlight. Participants at larger institutions, especially multi-locations, did not express the same significance related to closeness in their community.

Collaborative partnerships and relationship themes characterize an organizational function for an institution. It can be found that to the degree organizational leadership is involved, the kinds of relationships cultivated determine by and large the amount of community support for the institution. Organizational leaders, i.e. foundation and college board members, presidents, staff and faculty, all share a responsibility and commitment to overall organizational success through donor support. This responsibility extends to the development of partnerships with student employment possibilities; most importantly, partnerships which support the institutional mission. These partnerships did lead to student internships, student scholarships and communications between the institution and local business regarding special projects.

Given this climate of lower institutional support from numerous sources, i.e., the federal government, state government, and local taxing authorities along with waning donor support, operational functions were represented as critical towards donor support. Donor involvements in college activities generally lead to long-term support. In addition, awareness of events –attending gala openings, art center performances and building naming events- were responsible for a majority of continuing support from donors and the community. Donor awareness and interaction at college activities- student scholarship breakfasts, donor recognition dinners, athletic activities along with numerous private activities sponsored by friends of the college –helped to maintain and encourage further donor support.

Connections to Established Relationship Models

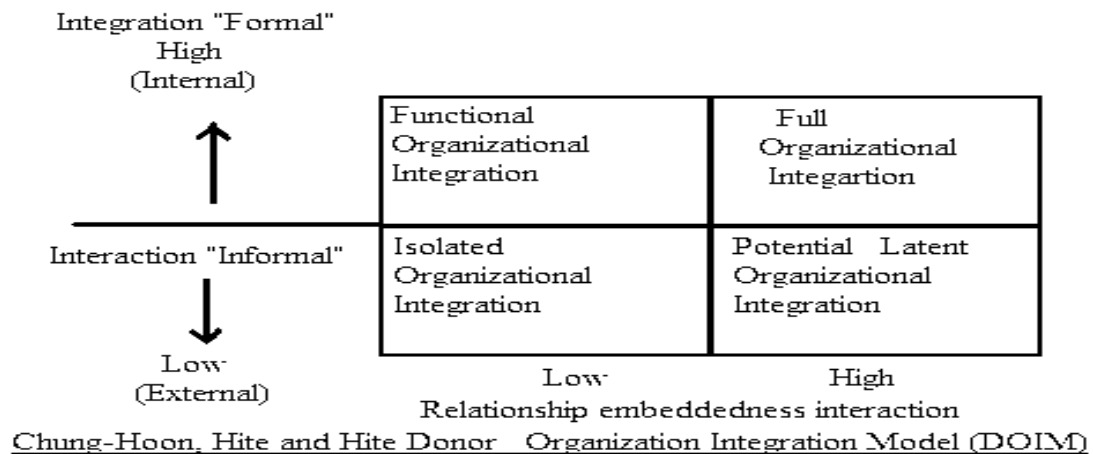
Here is what others say about relationships.

My analysis says it is all about inputs, processes and outputs through the integration of financial, structural, organizational and operational functions which yield-relationships. However, this researcher also found parallels with others who have come to similar conclusions regarding relationships.

An Integrated Donor Relationship model by Chung-Hoon, Hite, and Hite (2006) addressed the critical need for higher education organizations to develop effective and enduring strategic fundraising relationships with current donors and prospective donor publics. This model states that prospective donors should be integrated both internally (Formal) and externally (Informal) with a relationship to the formal organizational structure for future success. The model concludes that the more a donor has an enduring relationship to the organization, the more engaged and willing a donor will be to give of

their time, talent *and treasure* to see the organization succeed (Chung –Hoon, Hite, and Hite, 2005).

Plainly stated, the more an educational organization builds a relationship with a prospective donor, the more the organization should expect in return. Depending on the relationship, return could translate into increased student scholarships, in-kind donations for new programs or an increase in contacts to future prospective donors.

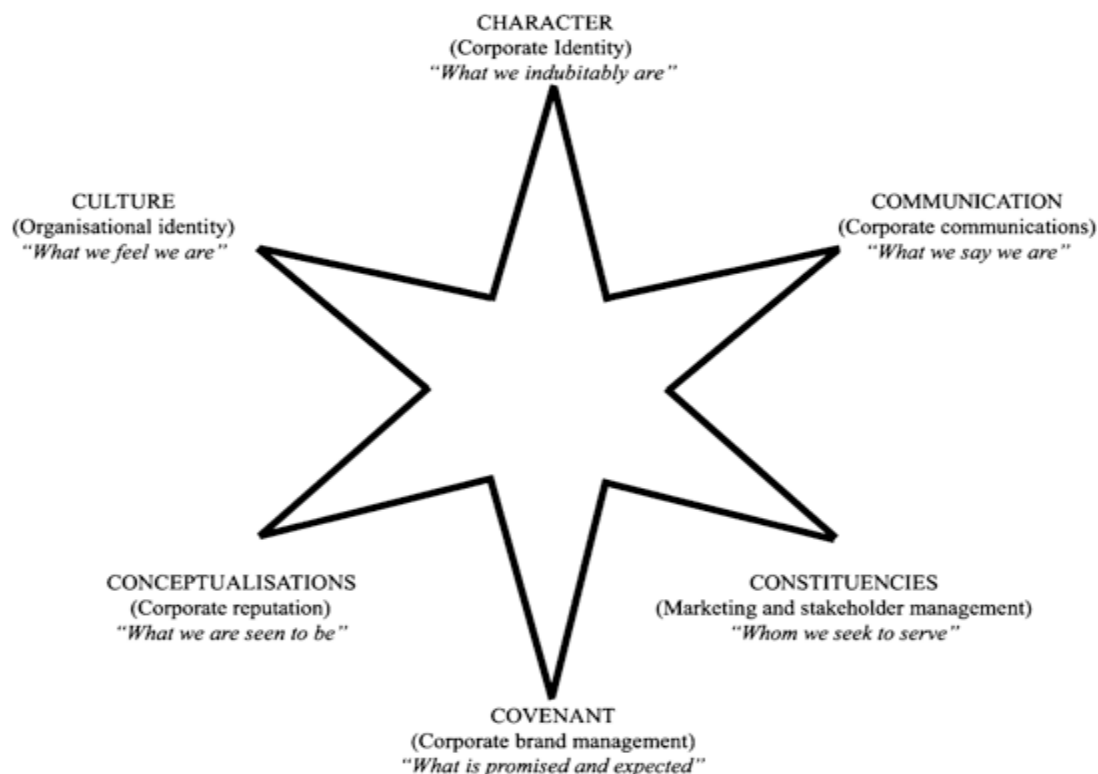


Secondly, Balmer and Greyser, (2006), speaks to corporate “branding” as a vehicle for relationship building. His model suggests that organizational behavior creates a culture which engages outside publics in full relationships. This model states that when employees, management, and owners are satisfied with organizational creativity, they are more likely to share their satisfaction with local outlets. When employees are bound so closely to the organization, creativity within the organization, coupled with

interpersonal information about the organization encourages a sense of employee independence.

Therefore, as Balmer and Greyser states, the significance of branding is carried throughout by employees subject to a prevailing organizational behavior, (character, communication, culture, conceptualizations, covenant, and constituencies) which encourages a sense of autonomy. This researcher found similar characteristics, which aligned with Powell's model regarding relationship building individual institution.

Much in the same way that a corporation struggles to maintain market share, educational organizations have learned to "pitch and roll" in order to capture the attention of future donors.

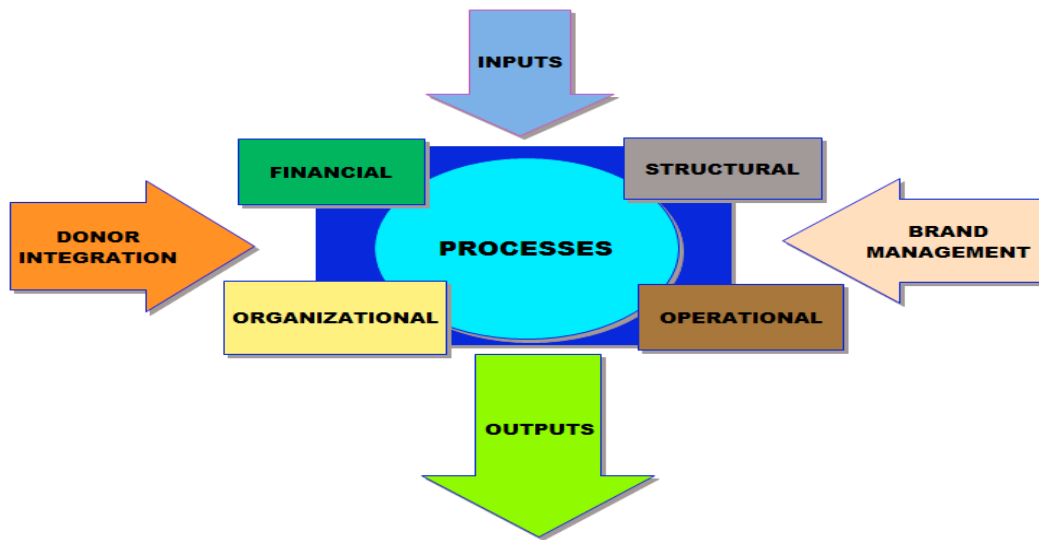


Balmer and Greyser - 6c's of Corporate Marketing and Brand Identity

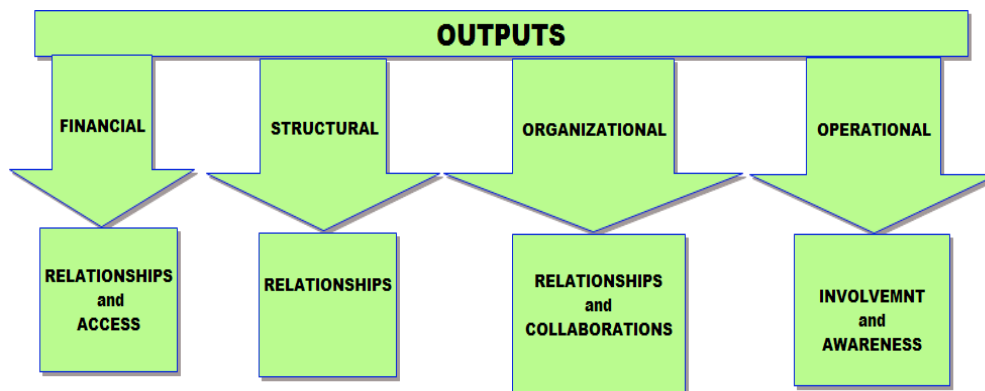
Conclusion

Annual giving and fundraising depends upon “brand management”, “friend-raising” by donor integration, and the building of long-term and sustained relationships. These relationships are composed of numerous inputs, through a series of processes and finally returned as outputs in the way of donor gifts, student scholarships, naming opportunities, faculty endowments, endowed chairs, along with materials and supplies as in-kind gifts.

As much as possible, similarities were drawn between all three models as to their inputs, processes and finally outputs. A representation of these relationships was created by this researcher and is depicted below as a community relationship model; which describes necessary inputs being placed either from the outside of the organization or from the interior. The institution is represented by the blue area, touching each function - finance, structure, organization, and operations. As these functions are processed within the organization, relational outputs are realized. Therefore, to keep relationships and support consistent, colleges seek to create their own identity, utilizing brand management strategies. Consequently, leading to an increase in donor support by means of donor integration; when institutions market themselves, donors will contribute regularly.



Community Relationship Model



Relational Outputs

This study was designed to uncover the phenomenon of annual giving in Texas Gulf Coast Community Colleges and to look for applications as to their overall success. These conclusions were gleaned over a period of time from numerous contributors to this study whose responses documented both loyalty and stewardship to the institution. Community colleges add enormous value to the communities that they serve. Institutions foster relationships through donor integration, brand identification and annual activities

which aid in long-term support. In the end, this researcher uncovered a variety of methods these educational organizations are using to build relationships for sustained support.

Recommendations

The building of relationships through business collaborations, donor involvement and access, and community awareness may be leveraged to develop cooperation and openness with the aim of strengthening sustained annual giving support. To increase annual giving support, more community colleges should involve the community in numerous events - institutions cannot continue to remain “the best kept secrets” within their community. Further suggestions include:

1. Increase awareness of the institution by “opening the college up to the public.”
Invite the community to participate through scholarship events and fundraising activities.
2. Put the “place” on display; have regular open houses as part of an on-going program.
3. Introduce the Foundation Board and the College Board to the community either at special celebration or as part of regular open house activities.
4. Make it personal to both the community and the college staff; everyone should play a role.
5. Solicit alumni. Communications with alumni is a great avenue for donor integration and building relationships to establish alumni relations with recognized programs.

6. Relate to retirees. Have special events; recognize the support, loyalty and hard work that retirees have given the institution.
7. Establish annual events which showcase college-wide achievements, i.e., student art shows, student music festivals, book-fairs, and film festivals.
8. Place greater emphasis on recognized local, state, and national programs.
9. Host regularly scheduled breakfasts, lunches and private dinners to network with and to recognize current as well as potential donors.
10. Always have students participate in organizational activities, i.e. donor breakfast; and events, i.e., golf tournaments, when donors are present.

Marketing, advertising and visibility strategies could include:

1. Developing a college newsletter which is sent to all service areas and mailed to donors with the foundation board president's personally hand-written signature and "thank you" on each. Include pictures of real students and staff with real and accurate articles. When possible personally deliver to certain donors.
2. Always have copies of the newsletter available whenever the President, a Trustee, Foundation board members, and/or staff make community presentations.
3. Build strategic linkages to local media, i.e., radio, television and print media.
4. Incorporate college presence into all future market area projections.
5. Involve college staff, and faculty in development and fundraising programs.
6. Redesign websites to reflect renewed image for both college and foundation.
7. Welcome community to scholarship dinners, donor lunches, brownbag events, ice cream suppers, and special event workshops which are all advertised in local media.

8. Board members should be seen involved in local school events; especially when college scholarships are being awarded to future students.
9. Send press releases to all local media regarding upcoming student events.
10. Market the school mascot along with the athletic teams, if athletics are available.
11. Start a volunteer core: Establish a lunch series / with local volunteer organizations; recruit volunteers from all diverse community organizations, i.e., KIWANIS, Lion's Club, Rotary Clubs, Chamber of Commerce, and professional groups.
12. Establish a college speaker's bureau in collaboration with schools, churches and local business community organizations.
13. Incorporate E-Philanthropy and integrated donor-mining technology into foundation strategic plan.
14. Create consistent marketing visuals for all presentations, i.e., color, theme, pictures and graphics.

Suggestions for Further Research

The purpose of this study was to determine successful practices in community college annual giving programs. A qualitative methodology was used to examine the community colleges on the Texas Gulf Coast which have engaged in annual giving activities as a regular part of their overall development and fundraising strategic plans.

Findings from the study suggest several considerations for further study. First, an inquiry into the communication patterns and use of external media outlets either sponsored by the college or in collaboration with the community should be conducted.

This study should also focus on methods which could further impact the colleges' image along with additional "branding" opportunities for the institution.

Another future research project should study the linkages of community colleges to local secondary schools, their foundations and ways those foundations influence the educational pursuits of local students towards a community college education. This future investigation should seek to identify factors and/ or barriers relative to local community partners while uncovering possible development opportunities.

Another future project should focus on success factors and methods used to determine the long-term financial viability of donor relationships as aligned with donor resources and non-donor relations. The main idea behind this study would concentrate on relationships with current donors while identifying methods which would be used to access their non-donor integrated associates.

Finally, a case study should be conducted of community colleges involved in collaborative partnerships within their communities and the values of these long-term relations as an economic factor for development of both.

Summary

Community colleges are by nature dynamic and organic; vibrant organisms filled with the energy of their surrounding community. Whenever there is an institution, economies thrive; families are supported and businesses rave about the merits of the organization. Being a dynamic organism, colleges build a persona with characteristics and qualities, which evolve over time and identify the organization within the community. With collaborative partnerships, community involvement, business participation, in addition to numerous donor relationships, educational organizations –

especially community colleges – do more than support the educational goals of students;
they flourish and become the symbol of hope - guiding the futures of many.

APPENDICES

December 5, 2007

Dear _____,

My name is Alexander Warren, Doctoral student at The University of Texas in Austin with a concentration in Higher Education. As a student in the Community College Leadership Program, I am interested in conducting a research study on Annual Giving and Fundraising within your college foundation. Therefore, I am seeking your permission and a date as to when I may visit with you and your college in the month of December or January.

This study will employ only audio recording, with at least four officials involved with fundraising and annual giving activities at your institution. These individuals may include the Chancellor or college president (or designated representative), foundation director, annual giving foundation staff member, and a faculty member. Further supporting information may be gathered from students who may have been awarded scholarships, websites, college notes, and on-occasion, possibly a college meeting. Even though, the interviews are scheduled to be individual for at least one hour, at times there may be others who may also be drawn into the conversation. Follow-up conversations may be needed as well. After interviews, all audio tapes will be transcribed, recorded and stored for future inspection.

Confidentiality will be maintained as a highest priority; identifying information of institutions and individuals will not be a part of the final dissertation. However, names of participants will be kept on file for future observation and or inspection. Completion of this research study is scheduled for spring 2008.

For more information, please find attached my University IRB Approval letter; a site letter will be provided at the time of our visit. If you should have any questions, please contact me at 832- 229 -5583 or by email, Framprassie@yahoo.com.

I look forward to our visit along with your guidance and personal attention to make this experience both enjoyable and educational.

Sincerely,

Alexander C. Warren
Doctoral Candidate
University of Texas at Austin
Community College Leadership Program



OFFICE OF RESEARCH SUPPORT & COMPLIANCE

THE UNIVERSITY OF TEXAS AT AUSTIN

P.O. Box 7426, Austin, Texas 78713 (512) 471-8871 - FAX (512) 471-8873
North Office Building A, Suite 5.200 (Mail code A3200)

FWA # 00002030

Date: **06/15/07**

PI(s): **Alexander C Warren**

Department & Mail Code:

Dear: **Alexander C Warren**

IRB APPROVAL – IRB Protocol # **2006-08-0014**

**Title: A Multi-Case Study of Annual Giving and Fundraising in
Texas Gulf Coast Community College Consortium Foundations**

In accordance with Federal Regulations for review of research protocols, the Institutional Review Board has reviewed the above referenced protocol and found that it met approval under an Expedited category for the following period of time: **06/15/2007 - 06/13/2008**

Expedited category of approval:

____(1) Clinical studies of drugs and medical devices only when condition (a) or (b) is met. (a) Research on drugs for which an investigational new drug application (21 CFR Part 312) is not required. (Note: Research on marketed drugs that significantly increases the risks or decreases the acceptability of the risks associated with the use of the product is not eligible for expedited review). (b) Research on medical devices for which (i) an investigational device exemption application (21 CFR Part 812) is not required; or (ii) the medical device is cleared/approved for marketing and the medical device is being used in accordance with its cleared/approved labeling.

____(2) Collection of blood samples by finger stick, heel stick, ear stick, or venipuncture as follows: (a) from healthy, non-pregnant adults who weigh at least 110 pounds. For these subjects, the amounts drawn may not exceed 550 ml in an 8 week period and collection may not occur more frequently than 2 times per week; or (b) from other adults and children², considering the age, weight, and health of the subjects, the collection procedure, the amount of blood to be collected, and the frequency with which it will be collected. For these subjects, the amount drawn may not exceed the lesser of 50 ml or 3 ml per kg in an 8 week period and collection may not occur more frequently than 2 times per week.

____(3) Prospective collection of biological specimens for research purposes by Non-invasive means.

Examples:

- (a) hair and nail clippings in a non-disfiguring manner;
- (b) deciduous teeth at time of exfoliation or if routine patient care indicates a need for extraction;
- (c) permanent teeth if routine patient care indicates a need for extraction;
- (d) excreta and external secretions (including sweat);
- (e) uncannulated saliva collected either in an un-stimulated fashion or stimulated by chewing gumbase or wax or by applying a dilute citric solution to the tongue;
- (f) placenta removed at delivery;
- (g) amniotic fluid obtained at the time of rupture of the membrane prior to or during labor;
- (h) supra- and subgingival dental plaque and calculus, provided the collection procedure is not more invasive than routine prophylactic scaling of the teeth and the Process is accomplished in accordance with accepted prophylactic techniques;
- (i) mucosal and skin cells collected by buccal scraping or swab, skin swab, or mouth washings;
- (j) sputum collected after saline mist nebulization.

☐ (4) Collection of data through noninvasive procedures (not involving general anesthesia or sedation) routinely employed in clinical practice, excluding procedures involving x-rays or microwaves. Where medical devices are employed, they must be cleared/approved for marketing. (Studies intended to evaluate the safety and effectiveness of the medical device are not generally eligible for expedited review, including studies of cleared medical devices for new indications). Examples:

- (a) physical sensors that are applied either to the surface of the body or at a distance and do not involve input of significant amounts of energy into the subject or an invasion of the subject's privacy;
- (b) weighing or testing sensory acuity;
- (c) magnetic resonance imaging;
- (d) electrocardiography, electroencephalography, thermography, detection of naturally occurring radioactivity, electroretinography, ultrasound, diagnostic infrared imaging, doppler blood flow, and echocardiography;
- (e) moderate exercise, muscular strength testing, body composition assessment, and flexibility testing where appropriate given the age, weight, and health of the individual.

___ (5) Research involving materials (data, documents, records, or specimens) that have been collected, or will be collected solely for non-research purposes (such as medical treatment or diagnosis). (NOTE: Some research in this category may be exempt from the HHS regulations for the protection of human subjects. 45 CFR 46.101(b)(4). This listing refers only to research that is not exempt).

X (6) Collection of data from voice, video, digital, or image recordings made for research purposes.

___ (7) Research on individual or group characteristics or behavior (including, but not limited to, research on perception, cognition, motivation, identity, language, communication, cultural beliefs or practices, and social behavior) or research employing survey, interview, oral history, focus group, program evaluation, human factors evaluation, or quality assurance methodologies. (NOTE: Some research in this category may be exempt from the HHS regulations for the protection of human subjects. 45 CFR 46.101(b)(2) and (b)(3). This listing refers only to research that is not exempt).

___ **Please use the attached approved informed consent**

___ **You have been granted Waiver of Documentation of Consent**

According to 45 CFR 46.117, an IRB may waive the requirement for the investigator to obtain a signed consent form for some or all subjects if it finds either:

___ The research presents no more than minimal risk

AND

___ The research involves procedures that do not require written consent when performed outside of a research setting

<OR>

___ The principal risks are those associated with a breach of confidentiality concerning the subject's participation in the research

AND

___ The consent document is the only record linking the subject with the research

AND

___ This study is not FDA regulated (45 CFR 46.117)

AND

___ Each participant will be asked whether the participant wishes documentation linking the participant with the research, and the participants wishes will govern.

X **You have been granted Waiver of Informed Consent**

According to 45 CFR 46.116(d), an IRB may waive or alter some or all of the requirements for Informed consent if:

X The research presents no more than minimal risk to subjects;

X The waiver will not adversely affect the rights and welfare of subjects;

X The research could not practicably be carried out without the waiver; and

X Whenever appropriate, the subjects will be provided with additional pertinent information they have participated in the study.

X This study is not FDA regulated (45 CFR 46.117)

RESPONSIBILITIES OF PRINCIPAL INVESTIGATOR FOR ONGOING PROTOCOLS:

- (1) Report **immediately** to the IRB any unanticipated problems.
- (2) Proposed changes in approved research during the period for which IRB approval cannot be initiated without IRB review and approval, except when necessary to eliminate apparent immediate hazards to the participant. Changes in approved research initiated without IRB review and approval initiated to eliminate apparent immediate hazards to the participant must be promptly reported to the IRB, and reviewed under the unanticipated problems policy to determine whether the change was consistent with ensuring the participants continued welfare.
- (3) Report any significant findings that become known in the course of the research that might affect the willingness of subjects to continue to take part.
- (4) Insure that only persons formally approved by the IRB enroll subjects.
- (5) Use **only** a currently approved consent form (remember approval periods are for 12 months or less).
- (6) **Protect the confidentiality of all persons and personally identifiable data, and train your staff and collaborators on policies and procedures for ensuring the privacy and confidentiality of participants and information.**
- (7) Submit for review and approval by the IRB all modifications to the protocol or consent form(s) prior to the implementation of the change.
- (8) Submit a **Continuing Review Report** for continuing review by the IRB. Federal regulations require **IRB review of on-going projects no less than once a year** (a Continuing Review Report form and a reminder letter will be sent to you 2 months before your expiration date). Please note however, that if you do not receive a reminder from this office about your upcoming continuing review, it is the primary responsibility of the PI not to exceed the expiration date in collection of any information. Finally, it is the responsibility of the PI to submit the Continuing Review Report before the expiration period.
- (9) Notify the IRB when the study has been completed and complete the Final Report Form.
- (10) Please help us help you by including the above protocol number on all future correspondence relating to this protocol.

Thank you for your help in this matter.

Sincerely,



Jody Jensen, Ph.D., IRB Chair

BIBLIOGRAPHY

- Abramson, M., Bird, J., & Stennett, A. (1996). Higher education partnerships: the future of collaboration. *The Society for Research Into Higher Education*. London: Open University Press.
- Adams, K., Keener, B., & McGee, E. A. (1994). Going public with private fund raising: community colleges garner fairer share of support. *Community College Journal*. 65. 39-42. (EJ 488 399)
- Agar, M. (1996). The professional stranger: and informal introduction to ethnography. 2nd Ed. San Diego: Academic Press.
- American Association of Community Colleges. Retrieved March 2, 2005, from: http://www.aacc.nche.edu/Content/NavigationMenu/AboutCommunityColleges/Fast_Facts1/Fast_Facts.htm.
- American Association of Community Colleges. (2004). Significant Historical Events in the Development of the Public Community College. Retrieved February 20, 2005 from: <http://www.acct.org/Template6.asp?bid=75>
- American Association of Community College Trustees Retrieved August 7, 2005 from <http://www.acct.org/Template6.asp?bid=75>
- American Council on Education. (2003) *Status Report on the Pell Grant Program*. Retrieved October 10, 2005 from: http://www.acenet.edu/bookstore/pdf/2003_pell_grant.pdf.
- Anderson, J. M., & Snyder, T. (Comp.). (1993). The community college foundation manual & guide. Rancho Cucamonga, CA: Network of Community College Foundations. (ERIC Document Reproduction Service No. ED 365 369).
- Angel, D., & Gares, D. (1981). A bull market for foundations. *Community and Junior College Journal*. 52. 5-6.
- Arnone, M. (2004). State spending on colleges drops for the first time in 11 years *Chronicle of Higher Education Government & Politics*. Volume 50. Issue 19. Page A24.
- Astin, A., & Astin, H. (2001). Principles of transformational leadership. AAHE: Bull. Association of California CC Adm's. ACCCA Reports, Feb. 2005 Retrieved July 30, 2005: from www.accca.com

- Avital, E. & Jablonka, E. (2000). *Animal Traditions: behavioural inheritance in evolution*. Cambridge: Cambridge University Press.
- Axelrod, T. (2004, 2005). Raising more money Retrieved August 13, 2005 from:
http://www.guidestar.org/news/features/sane_board.jsp
- Babitz, B. (2001). Building on your foundation. *Leadership Abstracts*. Retrieved March 3, 2005 from:
14(4)[<http://www.league.org/publication/abstracts/leadership/labs0801.html>].
- Babitz, B. (2003). Strategies for leveraging a community college foundation. *New Directions for Community*. No. 124. Winter.
- Bailey, A. L. (1986). "Their Budgets Cut, 2-Year Colleges Turn to Aggressive Fund Raising." *Chronicle of Higher Education*. v33. n1. p57. 60. September 3. Washington, DC: National Council for Resource Development, 1982.
- Bakrow, W. (1961). The relative effectiveness of certain procedures and practices in fundraising in selected private colleges and universities. Unpublished doctoral dissertation, Indiana University, Bloomington.
- Balmer, J. M. T. & Greyser, S. A. (2006). Corporate marketing: Integrating corporate identity, corporate branding, corporate communications, corporate image and corporate reputation, *European Journal of Marketing*, Vol.40, No.7/8, pp.730-741.
- Bass, B. M. (1990). Bass & Stogdill's handbook of leadership: Theory, research, and managerial applications (3rd ed.). New York: The Free Press.
- Bassey, M. (1999). *Case Study Research in Educational settings*. Buckingham: Open University Press.
- Bauer, D. G. (1989) *Administering Grants, Contracts and Funds: Evaluating and Improving \ Your Grants System*. New York: Collier Macmillan.
- Becker, Howard S. (1993). Problem of inference and proof in participant observation: Problem of inference and proof in participant observation, Reprint edition. Irvington Publishers.
- Bell, B. (1992). *Some Current Research Issues In Science Education*. Invited Address to the Science Education Symposium, AARE/NZARE Conference, Deakin University, 22-26 November, 1992.
- Bess, J. L. (1984). *College and university organization: insights from the behavioral sciences*. New York: New University Press.

- Billitteri, T.J. (2000). Donors big and small propelled philanthropy in the 20th Century. *The Chronicle of Philanthropy: Gifts and Grants*. Special Report. Thursday January 13th.
- Benjamin, L. S. (1974). Structural analysis of social behavior. *Physiological Review*. 81. 394-425.
- Bess, J. L. (1984). College and university organization: insights from the behavioral sciences. New York: New University Press.
- Bishop State Community College. (2004). Annual giving drive: *Commemorative Brick Legacy Heritage Wall*. Retrieved November 14, 2005 from: http://www.bishop.edu/a_giving.htm
- Brickhouse, N. (1992). Ethics In Field-Based Research: Ethical Principles and Relational Considerations. *Science Education*. 76 (1), 93 - 103
- Birchell, J. (1993). How humans relate: The new interpersonal theory. Forward by Russell Gardner, Jr. Praeger Publishers. Westport, Connecticut.
- BoardSource. (2002). Board Essentials: How do we become a nonprofit organization. Retrieved September 29, 2005 from: <http://www.boardsource.org/sitemap.asp>
- Bock, D. E., & Sullins, W. R. (1987). The search for alternative sources of funding: Community colleges and private fundraising. *Community College Review*, 15, 13-20.
- Bornstein, R. (2000). A president's guide to fundraising success: relationships are key. *The Presidency*. Vol. 3. no. 2. Spring. 25-29
- Boris, E., T. (2001). The State of philanthropy after September 11th. The Urban Institute. October 18. Retrieved March 11, 2005 from: <http://www.urban.org/url.cfm?ID=900431>
- Bremner, R. H. (1988). American Philanthropy. University of Chicago Press, Chicago, Illinois
- Brief no 2. (2004). *Nonprofit overview cost project: Facts and prospectives*. Center on Nonprofits and Philanthropy, Urban Institute. Center on Philanthropy, Indiana University. July.
- Brint, S., & Karabel, J. (1989). The diverted dream: community colleges and the promise of educational opportunity in America 1900-1985. New York: Oxford University Press.

- Brittingham, B. E., & Pezzullo, T. R. (1990). The campus green: Fundraising in higher education (ASHE-ERIC Higher Education Report No. 1). Washington, DC: George Washington University, School of Education and Human Development.
- Brittingham, B. E. & Pezzullo, T. R. (1990). *The Campus Green: Fundraising in Higher Education*. ERIC Clearinghouse on Higher Education, Washington, D.C.
- Bogdan, R. (1972). Participant Observation in Organizational Settings. Syracuse, NY: Syracuse University Press.
- Bogdan, R. C., & Biklen, S. K. (1982). *Qualitative research for education: An introduction to theory and methods*. Boston: Allyn and Bacon, Inc.
- Brooks, A. (2004). Evaluating the effectiveness of nonprofit fundraising. *Policy Studies Journal*. Vol. 32. Issue 3. p363. 12p.
- Bruyn, S. (1966). *The human perspective in sociology: The methodology of participant observation*. Englewood Cliffs, NJ: Prentice-Hall.
- Buechner, F. (1993). *Wishful Thinking: A Seeker's ABC*. San Francisco: Harper San Francisco.
- Buford, B., Oster M. J., & Hamel, M. (2002). *Giving Back: The age of social entrepreneurs*. Colorado: N A V P R E S S
- Burdenski, R. A. (2003). Innovations in annual giving: 10 departures that worked. *Chronicle of Philanthropy*. Vol. 16, Issue 2.
- Burke, W. W. & Litwin, G. H. (1992). A causal model of organizational performance and change. *Journal of Management*. 18(3), 523-545.
- Burns, J. (1978). *Leadership*. New York, N.Y.: Harper Row.
- Bush, L. (2005). Remarks by the First Lady on Helping America's Youth Initiative Community College National Legislative Summit. J. W. Marriott Grand Ballroom: Washington, D.C. February 15. 9:30 A.M. EST. Retrieved March 3, 2005 from: <http://www.whitehouse.gov/news/releases/2005/02/200502157.html>
- Curti, M., & Nash, R. (1965). *Philanthropy in the shaping of American higher education*. New Brunswick, NJ: Rutgers University Press.
- Catanzaro, J. L., & Miller, L. G. (1994, September). Strategic alliances: A key tool for institutional advancement. *Leadership Abstracts*, 7.

- Cheney, G. (1991). *Rhetoric in an organizational society: Managing multiple identities*. Columbia, S.C.: University of south Carolina Press.
- Chesterman, M. (1975). *Charities, Trusts, and Social Welfare*. London:Weidenfield Nicholson.
- Chewning, P. B. (1984). *The attitudes of alumni nondonors, donors, and consecutive donors towards Drake University*. Unpublished doctoral dissertation, Drake University.
- Chrenka, J., Gutter, M. S., & Jasper, C. (2003) Gender differences in the decision to give time or money. *Consumer Interests Annual*. Issue 49. p1. 4p.colleges
- Christian Science Monitor, (2004). Practical Philanthropy Vol. 96, Issue 144, p19, 1p. <http://chronicle.com>
- Cockriel, I., & Kellogg, K. O. (1994, November). Fundraising: Building constituency groups in student affairs. Paper presented at the National Association of Student Personnel Administrators West Regional Conference, Aspen, CO.
- Cohen, A. M. & Brawer, F. B. (1982). *The American Community College*. San Francisco, California: Jossey-Bass, Inc.
- Community College Week. (2005). Ways to Give: Annual Brick Campaign Hudson Valley Community College Campaign, 80 Vandenburg Ave., Troy, NY 12180; Retrieved November 9, 2005 from; <https://www.hvcc.edu/50/brick.html> .
- Connelly, F. M., & Clandinin, D. (1994). Personal experience methods. In N. Denzin & Y. Lincoln (Eds.), *Handbook of qualitative research* (pp. 413-427). London: Sage.
- Cook, W. B. (1997). Fundraising and the college presidency in an era of uncertainty. *Journal of Higher Education*. 68(1). 53–86.
- Cook, W. B. (1994b, October). *Toward a theory of fundraising in higher education: The role of presidents and chancellors in fundraising*. Paper presented to the Association for Research on Nonprofit Organizations and Voluntary Action Annual Conference, Berkeley, CA.
- Council for Advancement and Support of Education. 2003/2004. Annual Report. Retrieved November 1, 2005 from : www.case.org
- Council for Aid to Education. (1996a, May 22). Private contributions to higher education inch up in 1995 [Press Release]. Washington, DC: Author.

- Clements, C. R. (1996). The institutional advancement process: Preparing for the 21st century. *Community College Journal*, 66, 27-30.
- Craft, W., M., & Guy, K. E. (2002). Community college fundraising: prospects for the future. *Community College Journal*. March. V72. n4. p. 28- 32.
- Cowley, W. H. (1980). *Presidents, professors and trustees*. San Francisco: Jossey-Bass.
- Crawford, T. R. (1976). *The role of chief development officer as perceived by presidents and chief development officers at selected institutions of higher education*. Unpublished doctoral dissertation, Texas A&M University, College Station.
- Cribbin, J. J. (1972). Effective managerial leadership: American Management Association.
- Cunningham, R. D. (1991). Modeling mastery learning through classroom supervision. *NASSP Bulletin*, 74(536), 83-87.
- Curti, M. & Nash, R. (1965). *Philanthropy in the shaping of American higher education*. New Brunswick, NJ: Rutgers University Press.
- Cutlip, S. M. (1965). *Fundraising in the United States: Its role in America's Philanthropy*. New Brunswick, NJ: Rutgers University Press.
- Daft, Richard L. (1997). Management. Fourth Edition. Fort Worth, Tx, U.S.A.: The Dryden Press. Davis, J., R. (2003). Learning to lead.: a handbook for post secondary administrators. American Council on Education. Connecticut: Praeger
- Daniel, D. (1991). Making the commitment to resource development. *Community, Technical, and Junior College Journal*, 62, 6-7.
- Davis, J., R. (2003). Learning to lead.: a handbook for post secondary administrators. American Council on Education. Connecticut: Praeger
- DeWalt, K, M. & DeWalt, B. R. (2002) Participant observation: a guide for fieldworkers. New York: Altamira Press.
- Dewey, John. [1889] 1926. The public and its problems. New York: Holt.
- Dewey, John. [1889] 1927. Psychology. New York: Harper.
- Degerstedt, L. M. (1985). The community college foundation. In T. A. Reilley (Ed.), *Raising money through an institutionally related foundation* (pp. 69 75). Washington, DC: Council for Advancement and Support of Education.

- Delaware Community College. (2005). Leadership and legacy: annual fund. Retrieved November 1, 2005 from: <http://www.dccc.edu/alumni/giving.html>
- Dolnick, S. F. (1987). Fundraising for nonprofit institutions. Greenwich, CT: JAI Press.
- Dougherty, K. J., & Bakia, M. F. (2000). Community colleges and contract training: content, origins, and impact. *Teachers College Record*. Vol. 102. no. 1. 197- 243.
- Dove, K. E., Lindauer, J. A., & Madvig, C. P. (2001). Conducting a successful annual giving program. San Francisco, CA: Jossey-Bass Publishers
- Dowdy, H. B. (1996). A manual for trustees: Role, responsibilities, relationships. Cary, NC: North Carolina Association of Community College Trustees.
- Drozdzowski, M. (2003) Development and fundraising: what's the difference? Just because a fundraising pitch failed doesn't mean the development effort did. *Chronicle of Higher Education* . Retrieved November 15, 2005 from: <http://chronicle.com/weekly/v49/i31/31c00301.htm>
- Duffy, E. F. (1982). Characteristics and conditions of a successful community college foundation. In W. H. Sharron, Jr. (Ed.), *The community college foundation* (p.67–86). Washington, DC: National Council for Resource Development.
- Duffy, E. F. (1980). Characteristics and conditions of a successful community college foundation. Resource Paper No. 23, ERIC Document Reproduction Service No. ED 203918
- Duronio, M. A., & Loessin, B. A. (1990). Fundraising outcomes and institutional characteristics in ten types of higher education institutions. *The Review of Higher Education*, 13. 539-556. Elshain, J. B. (1995). *Democracy on trial*. New York: Basic Books
- Dutton, J. E., & Duncan, R. B. (1987). The creation of momentum for change through the process of strategic issue diagnosis. *Strategic Management Journal*, 8, 279–295.
- Dutton, J. E., & Ottensmeyer, E. (1987). Strategic issue management systems: Forms, functions, and contexts. *Academy of Management Review*, 12(2), 355–365.
- Fetterman, D. M. (1998). *Ethnography*, 2nd ed., Thousand Oaks, CA: Sage Publications.
- Eisner, E. W. (1991). *The enlightened eye: Qualitative inquiry and the enhancement of educational practice*. New, NY: McMillan Publishing Company.

- Evans, G. (1993). Organizing the development program. In M. J. Worth (Ed.). *Educational fundraising: Principals and practices* (pp. 275– 285). Phoenix, AZ: Oryx.
- Fiedler, F. E. (1967). *A theory of leadership effectiveness*. New York: McGraw-Hill.
- Fiedler, F. E. & Garcia, J. E. (1987). *New approaches to effective leadership*. New York: Wiley.
- Fisher, J. L. (1989). A history of philanthropy. In J. L. Fisher & G. H. Quehl (Eds.), *The president and fundraising*. New York: American Council on Education/Macmillan. (pp. 18-32).
- Fisher, J. L. (1986). *Power of the presidency*. New York: American Council on Education and Macmillan.
- Fisher, J. L., & Koch, J. V. (1996). *Presidential leadership: Making a difference*. Phoenix, AZ: American Council on Education and Oryx Press.
- Firestone, W. A. (1987). Meaning in method: The rhetoric of quantitative and qualitative research. *Educational Researcher*. 16 (7). 16-21.
- Fisher, B. A. (1982). The pragmatic perspective of human communication: A view from system theory. In F. E. X. Dance (Ed.), *Human communication theory: Comparative essays* (pp. 192–219). New York: Harper & Row.
- Friedman, L. J., & McGravie, M. D. (2003). (Eds.). *Charity, philanthropy, and civility in American history*. Cambridge: Cambridge University Press, 467 pp.
- Foner, E., & Garraty J. A. (1991) *The reader's companion to American history*. (Ed). Boston : Houghton Mifflin Company.
- Fonte, R. (2003). Hearing on “Expanding access to college in America: how the higher education act can put college within reach”. Subcommittee on 21st Century Competitiveness House Committee on Education and the Workforce. July 15, 2003.
- Forsyth Technical Community College. (2002). *Foundation: annual fund*. Retrieved November 15, 2005 from: <http://www.forsyth.tec.nc.us/alumni/fund.html>
- Glass, Jr., Jackson, J. C., & Luke, K. (1998). Integrating resource development a institutional planning. *Community College Journal of Research & Practice*. Vol. 22. Issue 8. P715. 25p.

- Gee, A. D. (1990). Annual giving strategies: a comprehensive guide to better results edited by Council for Advancement and Support of Education, Washington, D.C.
- Geertz, C. (1973). "Description: toward and interpretive theory of culture," *The Interpretation of Culture*. NY: Basic Books.
- Gill, J., & Johnson, P. (1991). *Research methods for managers*. London, Paul Chapman
- Graen, G., & Cashman, J. F. (1975). A role making model of leadership in formal organizations: A developmental approach. In J. G. Hunt & L. L. Larson (Eds.), *Leadership frontiers*. Kent, OH: Kent State University Press.
- Gray, J. L., & Starke, F. A. (1988). *Organizational Behavior: Concepts and Applications*. Columbus, Ohio: (Ed). Merrill. By Patrick Antoine
- Greenfield, J. M. (1991). *Fundraising: Evaluating and managing the fund development process*. New York: Wiley.
- Greenfield, J. M. (2000). *Fundraising: Evaluating and Managing the Fund Development Process* (2nd Ed.). New York: John Wiley & Sons.
- Grunig, J. E. (1992). Communication, public relations, and effective organizations: An overview of the book; What is excellence in management? In J. E. Grunig (Ed.), *Excellence in public relations and communication management: Contributions to effective organizations* (pp. 1-28, 219-250). Hillsdale, NJ: Lawrence Erlbaum Associates.
- Guba, E. G., & Lincoln, Y. S. (1996). Competing Paradigms in Qualitative Research. In K. Denzin and Y. S. Lincoln (Eds.), *The Landscape of Qualitative Research*, pp. 195-220, Sage, Thousand Oaks, CA.
- Guy, K. (2002). The president's role as chief fundraising executive. *Community College Times*. November 12. p. 4.
- Hader, J., & Linderman, E., C. (1933). *Dynamic Social Research*. New York: Harcourt, Brace.
- Haire, C. M., & Dodson-Pennington, L. S. (2002) Taking the road less traveled: a journey in collaborative resource development. *Community College Journal of Research & Practice*. Vol. 26. Issue 1. p. 61. 15p.
- Hall, M. R. (2002). Building on relationships: A fundraising approach for community colleges. *Community College Journal of Research and Practice*. 26: 47- 60.

- Hall, A. (2003). *Managing people: guides to good practice*. England: McGraw-Hill.
- Halperin, R. H. (1994). *Cultural Economies: past and present*. Austin: University of Texas Press.
- Hamel, W. W. (2003). What corporate governance legislation means to you. *Association Management*, March.
- Hamilton, W.D. (1964). The genetical evolution of social behavior, I and II. *Journal of Theoretical Biology*. 7. 1-16 and 17-62.
- Harris, M., & Johnson, O. (2000). *Cultural Anthropology*, (5th ed.), Needham Heights, MA: Allyn and Bacon.
- Harvey, P. D. (1991). Tax exempt organizations: Wind of change. *Distinguished Norman A. Sugerman Memorial Lecture* sponsored by the Mandel Center for Nonprofit Organizations at Case Western University, Cleveland, Ohio, May 20.
- Heath, R. L. (2000). Human communication theory and research concept, contexts and challenges. (2nd.ed.) Heath, R., L. and Bryant, J. (Ed.s). Mahwah, NJ: Lawrence Erlbaum.
- Herbert, J. G. (1990). La Rochefoucauld [1665, 1678] *Sociology in America: American Sociological Association Presidential Series*. 1964, nos. 83, 247 California: SAGE Publications.
- Herman, R. D., & Heimovics, D. (1994). Executive leadership. In R. D. Herman and Associates, *The Jossey-Bass handbook of nonprofit leadership and management* (pp.137-153). San Francisco: Jossey-Bass.
- Hersey, P., & Blanchard, K. H. (1977). *The management of organizational behavior*. Englewood Cliffs, NJ: Prentice Hall.
- Hillman, J. (2002, May). An investigation of the current status of fundraising activities and training within student affairs divisions in Texas colleges and universities. Dissertation Prepared for the Degree of Doctor of Education University of North Texas.
- Hollander, E. P. (1979). Leadership and social exchange processes. In K. Gergen, M. S. Greenberg & R. H. Willis (Eds.) *Social exchange: Advances in theory and research*. New York: Winston-John Wiley.
- Hoover, E. (2004). Public colleges see a 10% rise in tuition for 2004-5. Rates also increase at private institutions and community colleges. *Chronicle of Higher Education*. Retrieved August 7, 2005 from: <http://chronicle.com> Section: Students Volume 51, Issue 10, Page A1,

- Horowitz, I. L. (1968), *Professing sociology: studies in the life cycle of social science*. Illinois: Southern Illinois University Press.
- Hoy, K. W. & Miskel, C. G. (1991). *Educational administration: Theory, research, and practice*. New York: McGraw-Hill.
- Huber, G. P., & Daft, R. L. (1987). The information environments of organizations. In F. M. Jablin, L. L. Putnam, K. H. Roberts, & L. W. Porter (Eds.), *Handbook of organizational communication* (pp. 130–164). Newbury Park, CA: Sage.
- Integrated Postsecondary Education Data System Finance Survey (1999). Retrieved January 12, 2005 from: <http://nces.ed.gov/ipeds/survey1999.asp>
- Internal Revenue Service Publication 4220. (2003). Applying for 501(c)(3) Tax exempt status. Retrieved September 19, 2005 from: <http://www.irs.gov/pub/irs-pdf/p4220.pdf>
- Jackson, D. Z. (2005). Facing a chasm in higher ed. March 4, The Boston Globe Retrieved August 7, 2005 from: http://www.boston.com/news/globe/editorial_opinion/oped/articles/2005/004/facing_a_chasm_in_higher_ed?mode=PF (2 of 2) 3/4/2005 4:54:34 AM
- Jenkins, L.W., & Glass, J. C. Jr. (1999). Inception, growth and development of community college foundation: lessons to be learned. *Community College Journal of Research & Practice*. Vol. 23, Issue 6.
- Jenkins, L. W., & Glass, J. C. (1999). Inception, growth. and development of a community college foundation: lessons to be learned. *Community College Journal of Research & Practice*. Vol. 23 Issue 6, p593-612, 20p
- Johnson, S. D. (1995). Will our research hold up under scrutiny? *Journal of Industrial Teacher Education*. 32(3). 3-6. Spring.
- Jorgensen, Danny L. (1993). *Participant Observation : A Methododology for Human Studies* (Applied Social Research Methods, Vol. 15). Thousand Oaks, CA: Sage Publishers.
- Johnston, J., & Zawawi, C. (eds) (2004) *Public Relations Theory and Practice*, Allen and Unwin, St Leonards, NSW.
- Kapraun, E. D., & Heard, D. A. (1993). *Financing community colleges: Threats and opportunities*. Fayetteville: University of Arkansas, Fayetteville. (ERIC Document Reproduction Service No. ED 352 081)

- Keener, B. J. (1982). The Foundation's Role in Resource Development." In Sharron, W. Harvey, Jr. (Ed.) *The Community College Foundation*. Washington, DC: National Council for Resource Development.
- Keener, B. J., Ryan, G. J., & Smith, N. J. (1991). Paying attention pays off: How to market resource development. *Community, Technical, and Junior College Journal*. 62, 34-37.
- Keener, B. J., Carrier, M., Meaders, J. (2002) Resource development in community colleges: a national overview. *Community College Journal of Research & Practice*. Vol. 26 Issue 1. p7. 17p.
- Kelly, K. S. (1998). Effective fundraising management. Mahwah, NJ: Lawrence Erlbaum.
- Kelly, K. S. (1991) Fundraising and public relations: A critical analysis. Mahwah, NJ: Lawrence Erlbaum.
- Kelley, R. E. (1992). The power of followership. New York: Doubleday.
- Phillippe, K. A., & Patton, M. (2000). National Profile of Community Colleges:Trends and Statistics, 3d edition, Washington, D.C.: Community College Press, American Association of Community Colleges.
- Kenton, C. P., Huba, M. E, Schuh, J. H., & Shelley, M. C. II (2005). Financing community colleges: a longitudinal study of 11 Community College *Journal of Research and Practice*. 29: 109–122.
- Knight, W.E. (2004). Influences on participation in a university faculty and staff annual giving campaign. *International Journal of Educational Advancement*_. February, vol. 4, no. 3, pp. 221-232(12).
- Knopf, A. A. (1976). Of the uses which Americans make of public associations in civil life. *Democracy in America*. Vol. 2. p.106. New York: Borzoi Books
- Kopeck, R. J. (1982-83). "An Idea Whose Time Is Come: Not-For-Profit Foundations for Public Community Colleges." *Community College Review*. v10. n3. p.120-27.
- Krippendorff, K. (1977). Information systems theory and research: An overview. In B. D. Ruben (Ed.), *Communication yearbook 1* (pp. 149–171). New Brunswick, NJ: Transaction Books.
- Lamme, R. (1995,November). Community college develop fundraising pitch. *Philanthropy Journal of North Carolina*. pp. 1. 13.

- Lasher, W. H. & Cook, W. B. (1994). Toward a Theory of Fundraising in Higher Education This paper was originally presented at the annual conference of the Association for Research on Nonprofit Organizations and Voluntary Action(ARNOVA) Oct. 20-22, 1994 in Berkeley, Calif. and has published by the. *Review of Higher Education*, 20(1).33-51. Copyright 1996: Association for the Study of Higher Education (ASHE).
- Lasher, W. (2003) Class notes. Personal communications. October 7, 2003.
- Lehrer, J., & Silverman, S. (2003) Online News Hour: "Paying More for college, Getting less," NewsHour with Jim Lehrer. September 15,. Retrieved May 26, 2005 from: <http://www.pbs.org/newshour/extra/features/july-dec03/collegetuition.html>
- Ledingham, J. A., & Bruning, S. D. (2002). Public and relations management. NJ: Lawrence Erlbaum Associates.
- Levy, L., & Linden, E. (2002). The mind of Wall Street. New York: Public Affairs.
- Lincoln, Y. S., & Guba, E. G. (1985). *Naturalistic inquiry*. Beverly Hills, CA: Sage Publications, Inc.
- Lewin, A.Y., & Morey, R.C. (2001). Measuring the relative efficiency and output potential of public sector organizations: An application of data envelopment analysis. *International Journal of Policy Analytical and Information Systems*, Vol/Issue: 5:4
- Lippincott, J. (2004). Advancing advancement. Remarks by CASE President for the Network of California Community College Foundations of Education, John Lippincott, to the Network of California Community College Foundations in October. *COUNCIL FOR ADVANCEMENT AND SUPPORT OF EDUCATION*. Retrieved March 4, 2005 from <http://www.case.org/Search/SearchResults.cfm?keywords=community++college+foundations&x=12&y=14>
- Loessin, B. A., Duronio, M. A., & Borton, G. L. (1986). Measuring and expanding sources of private funding. In P. T. Terenzini & M. W. Peterson (Series Eds.)
- Lord, J. G. (1983). The raising of money: Thirty-five essentials every trustee should know. Cleveland, OH: Third Sector Press.
- Dunn, A. (2005). *New directions for institutional research: No. 51*. Enhancing the management of fundraising (pp. 55-68). San Francisco: Jossey Bass.

- Lofland, J., & Lofland, L. H. (1984). *Analyzing social settings*. Belmont, CA: Wadsworth Publishing Company, Inc.
- Lorenzo, A. L., & LeCroy, N. A. (1994). A framework for fundamental change in the community college. *Community College Journal*. 64, 14-19.
- Luck, M., & Tolle, D. (1978). Community college development: Alternative fund raising strategies. Indianapolis, IN: Newkirk.
- Machanic, K. (2002). Alumni: A Valuable Resource. *Community College Times*. November. 12, p. 1.
- Manzo, K. K. (2004). Foundation scholarships focus on 2-year students. *Community College Week*. November 9. Volume:16. Issue 23. Retrieved November 9, 2005 from: <http://www.ccweek.com/articlePage.asp?c=1&a=454> Community college week.
- Marts, A. C. (1953). *Philanthropy's role in civilization*. New York: Harper & Brothers.
- Mauss, M. (1966) The gift: forms and functions of exchange in archaic societies. London: Cohen and West Ltd.
- Merriam, S. B., & Associates (2002). *Qualitative Research in Practice: Examples for Discussion and Analysis*. Jossey-Bass, San Francisco.
- McAnear, B. (1952). The Raising of Funds by the Colonial Colleges *The Mississippi Valley Historical Review*, Vol. 38, No. 4. March. pp. 591-612. <http://www.historycooperative.org/journals/jah/jah-38-4-toc.html>
- McGee, E. A. (2003) The role of the president in supporting the college' foundation. *New Directions for Community*. No. 124. Winter.
- Mercer, J. (1994). A bigger piece of the pie: Community colleges are frustrated by the difficulty of securing reliable support. *Chronicle of Higher Education*. pp. A19. A21. July 13
- Merisotis, J. P., & Wolanin, T. R. (2000). Community college Financing (Expeditions Issue Paper No. 5). Washington, DC: American Association of Community Colleges.
- Merrim-Webster Online. 2005. Retrieved February 19, 2005 from: <http://www.m-w.com/>
- McLeod, M. W., Atwell, C. A., & Bedics, R. A. (1995). Recission (sic) and reduction: Lessons from the edge. *Community College Review*. 23.3-12.

- Michaelson, M. (2003). A new era of corporate governance bears down on higher education." *Trusteeship*, January/February.
- Miles, M., & Huberman, A. M. (1994). *Qualitative data analysis*. Thousand Oaks, CA: Sage Publications, Inc.
- Miller, M. T. (1991). *The college president's role in fundraising*. (ERIC Document Reproduction Service No. ED 337099.
- Miller, M.T. & Seagren, A.T. (1997). Community college finance: Department chair perceptions of selected financial issues and responsibilities. *Community college Journal of Research & Practice*. January/ February. 21 (1). 31.
- Miller, L. S. (1994). Community college resource development: Foundations and fundraising. In G. A. Baker, III (Ed.), *A handbook on the community college in America: Its history, mission, and management* (pp. 360-374). Westport, CT: Greenwood Press.
- Milliron, M. D., de los Santos, G. E., & Browning, B. (2003).Feels like the third wave: The Rise of Fundraising in the Community College. *New Directions for Community Colleges*. No. 124, Winter. Wiley Periodicals, Inc.
- Monaghan, J., & Just, P. (2000). *Social and cultural anthropology: a very short introduction*. Oxford: University Press.
- Moore, C. J. (2005).Trustee selection often based on personal links, study finds. *The Chronicle of Philanthropy*. Managing. January 6. Retrieved March 7, 2005 from: <http://philanthropy.com/free/articles/v17/i06/06004702.htm>
- Monroe Community College Foundation Retrieved March 16,2005 from: <http://www.monroecc.edu/etsdbs/PubAff.nsf/0/08b6994b073ea708852568960073e2f9> Open Document.
- Morgan, G. (1998). *Images of organization* (Executive ed.). San Francisco: Berrett Koehler.
- Morgan, G. (1982). Cybernetics and organization theory: Epistemology or technique? *Human Relations*, 35, 521–537.
- Mumby, D. K. (1987). The political function of narrative in organizations. *Communication Monographs*, 54, 113–127.

- Murfield, J. (2005). Essential elements of great fundraising *Jeffrey Byrne & Associates, Inc.*, Retrieved September 30, 2005 from: Guidestar.org <http://www.guidestar.org/news/features/essentials.jsp>
- National Center for Educational Statistics. (1995). Projections of Education Statistics to 2005. Washington, DC: U.S. Department of Education.
- Newman, D. S. (2005). The Risk of Capital-Campaign Fatigue. *Chronicle of Higher Education*, Vol. 51. Issue 48.
- North Harris Montgomery Community College District Foundation. (2002). Scholarship Funds Soar with Gala Success. *Focus*. Retrieved November 16, 2005 from: <http://www.nhmccd.edu/Estrada.config?resource=5903>
- Oliver, F. H. (1999). Fellow Beggars: The history of fundraising campaigning in U.S. higher education. Teachers College, Columbia University: New York.
- O'Connell, B. (1999). Civil society: the underpinnings of American Democracy. Tufts University: University Press of New England.
- Parks, D. J. (1986). Create a vision, build a consensus, be an effective leader, *The Clearing House*, (60), 88-90.
- Parry, J., & Bloch, M., (1989). Money and the morality of exchange. Cambridge:Cambridge University Press.
- Patton, M. Q. (1990). Qualitative Evaluation and Research Methods (2nd. Ed.). Newbury Park, CA: Sage Publications, Inc.
- Patton, M. L. (1997). Understanding Research Methods: An Overview of the Essentials. Pyrczak, Los Angeles.
- Peters, T. (1992). *Liberation management*. New York: Knopf.
- Peterson, L. M. (1999). Consortial fundraising (ERIC Document Reproduction Service No. EJ 591461).
- Payton, R. L. (1999). A tradition in jeopardy. In C.T. Clotfeltter and T. Ehrlich (Ed.s). *Philanthropy and the nonprofit sector in a changing America*. Bloomington: Indiana University Press.
- Payton, R. L. (1988). Philanthropy: voluntary action for the common good. New York: Macmillan Publishing Co.

- Penchansky, R., & Thomas, J. W. (1981). The concept of access: definition and relationship to consumer satisfaction. *Medical Care*, Vol. 19, No. 2 pp. 127-140. Lippincott Williams & Wilkins.
- Pichon, D. J. (1999). *A study of fundraising in selected urban and suburban California community colleges; A description of programs and an identification of successful strategies* (Doctoral dissertation, The University of Texas at Austin).
- Putnam, R. D. (1993b). *Making democracy work*. Princeton, N J: Princeton University Press
- Reinharz, S. (1979). *On Becoming a Social Scientist: From Survey Research and Participant Observation to Experiential Analysis*. San Francisco, Jossey-Bass.
- Reiss, A. (1971). Systematic observation of natural phenomena. Pp. 3-33 in Herbert Costner, ed., *Sociological Methodology 1971*. San Francisco: Jossey-Bass
- Robbins, V.M.J. (1995). *Managing today*. Upper Saddle River, New Jersey: McGraw-Hill.
- Rost, J. C. (1991). *Leadership for the twenty-first century*. New York: Praeger.
- Peterson, V. T., *New strategies for educational fundraising*. Michael Worth (Ed.). Connecticut: Praeger Publishers.
- Phillips, D. C. (1987). Validity in Qualitative Research. *Education and Urban Society*.(20)1, 9-24.
- Pray, F. C. (1981). The president's role in administrative leadership. In F. C. Pray (Ed.), *Handbook for educational fundraising: A guide to successful principles and practices for colleges, universities and schools* (pp. 189-192). San Francisco: Jossey-Bass.
- Pray, F. C. (Ed.), *Handbook for educational fundraising: A guide to successful principles and practices for colleges, universities and schools* (pp. 340-346). San Francisco: Jossey-Bass.
- Priests for Life. Retrieved February 28, 2005 from:
<http://www.priestsforlife.org/articles/theoofgiving.htm>
- Reed, A, Jr., & Szymanski, S. (2005). Free higher education. Academic freedom for a free society. *American Association of University Professors. Academe*. January-February.

- Rivard, N. (2002). Fundraising in tough times. *University Business: The Magazine of College and University Administrators*. Retrieved November 12, 2005 from: <http://www.universitybusiness.com/page.cfm?p=66>
- Robertson, A. (1981). Special opportunities and problems of community colleges. In F.C. Pray (Ed.), *Handbook for educational fundraising: A guide to successful principles and practices for colleges, universities and schools* (pp. 340-346). San Francisco: Jossey-Bass.
- Roberts, J. E. (2002) As we teach, so will we receive. *Community College Journal* February / March
- Robison, S. (1982). "The Development of the two-year college foundation techniques of success." In Sharron, W. Harvey, Jr. (Ed.) *The Community College Foundation*. Washington, DC: National Council for Resource Development.
- Roha, T. A. (2000). State University-Related Foundation and the Issues of Independence. (AGB Occasional Paper, no. 39). Washington, D.C.: Association of Governing Boards of Universities and Colleges. (ED 442326).
- Rooney, P. Hager, M., & Pollack, T. (2003). Sources of contributions: Giving by individuals. Report from The Urban Institute on Philanthropy at Indiana University. *Giving USA: AAFRC Trust for Philanthropy*. April.
- Rosso, H. A. (1991). *Achieving excellence in fundraising*. San Francisco: Jossey-Bass.
- Roueche, J. E., Baker, G. A., III, & Rose, R. R. (1989). *Shared vision Transformational leadership in American community colleges*. Washington, DC: Community College Press, a division of the American Association of Community and Junior Colleges.
- Roueche, J. E., & Roueche, S. D. (1993). *Between a rock and a hard place*. Washington, D.C. Community College Press.
- Roueche, J. E., & Roueche, S. D. (2000). Facing the new millennium: Making friends with the future. *Community College Journal*, 70(5), 16– 20, 22.
- Russell, L., & Wynn, P. (1996, April 26). Walking the high wire: The president and the development officer. Paper presented at the Region IV conference of the National Council for Resource Development, Asheville, NC.
- Ryan, G. J. (1989). The modern chief advancement officer. In G. J. Ryan & N. J. Smith (Eds.). *Marketing and development for community colleges* (pp. 23-27). Washington, DC: Council for Advancement and Support of Education.

- Ryan E. F. (2003). Sources and Information: Development and Fundraising Within Community Colleges. *New Directions for Community Colleges*. no. 124.
- Rynes, S. L., Nanatt, B.D., & Bretz, R D. (1999). Academic Research Inside organizations: Inputs, Processes, and Outcomes. *Personnel Psychology*, Vol. 52, No. 4: 869-898
- Salmon, J. (2003). *Rumba's Ladder: A Meditation on Generosity and Why It Is Necessary to Give*. New York: Workman Publishing Co.
- Salmon, J. L. (2004). Minorities grab fund-raisers' notice: Another American face of philanthropy is growing in affluence and influence. *Washington Post*. Nov.22.Retrieved Monday, November 22, 2004 from:
<http://www.chron.com/cs/CDA/ssistory.mpl/business/2911756>
- Schriesheim, C. A., & Neider, L. L. (1989). Leadership theory and development. *Leadership & Organizational Development Journal*. 10(6), 17-26.
- Schlozman, V. S. K., & Brady, H. F. (1995). Voice and equality: civic voluntarism in American Politics. Cambridge, Mass.: Harvard University Press. 528-29.
- Schachner, N. (1962). *The medieval universities*. New York: A. S. Barnes.
- Schensul, S., Schensul, J. J., & LeCompte, M. D. (1999). *Essential ethnographic methods; observations, interviews, interviews, and questionnaires surveys.volume 2 of the ethnographers's toolkit*. Walnut Creek: Alta Mira Press.
- Schram, T. (2003). Conceptualizing qualitative inquiry: mindwork for fieldwork in education and the social sciences. Saddle River, NJ: Merrill/Prentice Hall, 65
- Schulze, C. J., Jr. (1991). *The role of the community college president in institutional advancement*. Unpublished doctoral dissertation, Columbia University, New York.
- Schumacher, E.F. (1975). Small is beautiful: economics as if people mattered. New York: Harper and Row.
- Schuyler, G. (1997). Fundraising in community college foundations. ERIC Identifier: ED405943 Los Angeles CA :ERIC Clearinghouse for Community Colleges.
- Seymour, H. J. (1988). Designs for fundraising. (2nd ed.) Ambler, PA. Fundraising Institute.

- Seymour, D. T. (1989, Winter). Boundaries in the new higher education environment. In D. T. Seymour (Ed.), *Maximizing opportunities through external relations* (pp. 524). San Francisco: Jossey-Bass.
- Silver, A., & Gains, H. J. (1990). *Sociology in America*. American Sociological Association Presidential Series. California: SAGE Publications.
- Simmel, G. (1978). The philosophy of money. London: Rutledge and Kegan Paul: 1145-1147
- Simic, C. R. (1998) The role of the foundation board. Washington, D.C.: Association of Governing Boards of Universities and Colleges.
- Sinkus, M. (2004). Development: fundraising's new age. *Administrator*. July.
- Smith, G. T. (1986). The Chief Executive and Advancement. In A.W. Rowland (ed.), *Handbook of Institutional Advancement: A Modern Guide to Executive Management, Institutional Relations, Fundraising, Alumni Administration, Government Relations, Publications, Periodicals, and Enrollment Management*. (2nd ed.) San Francisco: Jossey-Bass,
- Smith, G. T. (1997). CEO's and trustees: the key forces in securing major gifts. *Developing Major Gifts: New Directions for Philanthropic Fundraising*. San Francisco, CA: Jossey-Bass. no. 16. 77-84.
- Smith, J. K., & Heshuius, L. (1986). Closing down the conversations: The end of qualitative debate among educational inquirers. *Educational Researcher*. January. 15 (1). 4-12.
- Smith, M. J. (1964). Group Selection and Kin Selection. *Nature*. 201.
- Smith, N. J. (1989). Organization of the successful advancement office. In G. J. Ryan & N. J. Smith (Eds.), *Marketing and development for community colleges* (p. 112). Washington, DC: Council for Advancement and Support of Education.
- Smith, N. J. (1993). Raising funds for community colleges. In M. J. Worth (Ed.), *Educational fundraising: Principles and practice* (pp.347-356). Phoenix, AZ: ORYX Press.
- Smith, N. J. (1991, September). Interdisciplinary approaches: Organizing for effective community college advancement (Resource Paper No. 47). Washington, DC: National Council for Resource Development.
- Smith, R. D. (2002). *Strategic Planning for public relations*. Mahwah, NJ: Lawrence Erlbaum.

- Smith, R. K. (1994). Building budgets for effective resource utilization. In G. A. Baker, III (Ed.). *A handbook on the community college in America: Its history, mission, and management* (pp. 350-360). Westport, CT: Greenwood Press.
- Sober, E. (1994). Did evolution make us psychological egoists? *From A Biological Point of View*. Cambridge: Cambridge University Press.
- Southwestern College, (2005). Southwestern College foundation supports green with green: \$50,000 Foundation Garden of Giving Annual Campaign. Retrieved November 15, 2005. <http://www.swc.cc.ca.us/PdfsFo/CANarticle.pdf>
- Spradley, J. P. (1980). Participant observation. New York: Holt, Rhinehart and Winston.
- Stake, R. E. (1978,). The case study method in social inquiry. *Educational Researcher*. February. 7(2). 5-8.
- Stainback, S., & Stainback, W. (1988). *Understanding and Conducting Qualitative Research*. Dubuque, IA. : The Council for Exceptional Children.
- St. Francis College.(2004). Annual Giving Programs. Retrieved November 14, 2005 from:http://www.stfranciscollege.edu/Content/NavigationMenu/Alumni_and_Fri/Annual_Giving_Programs1/Annual_Giving.htm
- Strom, S. 2002. "The Newly Rich are Fueling a New Era in Philanthropy." *The New York Times*. (27 April). [Database on-line] Available from, <http://www.nytimes.com/2002/04/27/national/27GIVI.html>
- Taylor, J. B., & Randolph, J. (1975). Community worker. New York: Jason Aronson.
- The Victoria College. (2005). Annual report to the Community: A tradition of Excellence. Retrieved November 15, 2005 from:<http://www.victoriacollege.edu/pubs/ar0304/foundationpf.html>
- Thomas Aquinas. (1975). Charity. In *Summa Theologiae*, Vol. 43 R.J. Batten, trans. And ed). London: Eyre & Spottiswoode.
- Townsend, C. (1991). The team approach: NCRD's executive institute. *Community, Technical, and Junior College Journal*, 62, 44-46.
- Trice, H. M., & Beyer, J. M. (1993). The cultures of work organizations. Englewood Cliffs, NJ: Prentice Hall.

- Trivers, R. (1971). The evolution of reciprocal altruism. *Quarterly Review of Biology*. 46. 35-57.
- Trochim, W. M. (2000), *The Research Methods Knowledge Base*, 2nd (Ed), updated 2 Aug. 2000, viewed 28 March. 2005. Available from Internet at:
<http://trochim.human.cornell.edu/kb/index.htm>
- Valenzuela, A. (1999). *Subtractive schooling: U.S. -Mexican youth and the Politics of Caring*. Albany, NY: State University of New York Press.
- Van Slambrouck, P. (1998). Entering the golden era of giving. *Christian Science Monitor* Vol. 90. Issue 204.
- Van der Werf, M. (1999) For community colleges, fundraising has become serious and successful.” *Chronicle of Higher Education*, Apr. 9, pp. A42 -A43.
- Vaughan, G. B. (1989) *Leadership in Transition: The Community College Presidency*. New York: American Council on Education and Macmillan.
- Vaughan, G.,B. (2000). *The Community College Story*, Second Edition, American Association of Community Colleges, Washington, D.C.: Community College Press.
- Veyne, P. (1990). *Bread and circuses: historical sociology and political pluralism*. London: Allen Lane/ Penguin.
- Ven, A H. (1992). Strategy Process: Managing Corporate Self-Renewal. *Strategic Management Journal*, Vol. 13, Special Issue: John Wiley & Sons. pp. 169-191
- Virginia Western Community College. (2005). Annual giving: leadership campaign. Retrieved November 14, from:
<http://www.viriniawestern.edu/foundation/annual/leadershipcampaign.html>
- Wattenbarger, J. (1976). “The Role of the Professional Educator as the College Development Officer.” *Resource Paper No. 7*. Washington, DC: National Council for Resource Development. (ERIC Documents Reproduction Service No. ED 203 919).
- Wattenbarger, J. L., & Witt, A. A. (1995). Origins of the California System: How the junior college movement came to California. *Community College Review*. 22 (4). p.17 25.
- Wallace, N. (2005). An unprecedented show of support. *Chronicle of Philanthropy*. Vol. 17. Issue 7. p10. 2p. 2c.

- Welch, P. A. (1980). Increasing annual giving. *New Directions for Institutional Advancement*, No. 7, Jossey Bass, San Francisco.
- Wenrich, J., W., & Reid, B. L. (2003). It's not the race I signed up for, but it's the race I'm in: the role of community college presidents. Successful approaches to fundraising and development *NEW DIRECTIONS FOR COMMUNITY COLLEGES*. no.124. Winter.
- Wesley J. (1983). The use of money. In *John Wesley's Fifty-Three Sermons* (E.J. Sugden. (Ed. Nashville, Tennessee: Abingdon Press, 1983.
- Westchester Community College. (2004). Foundation honors women's club federation for 50 Years of support. Retrieved November 14, 2005 from: http://www.sunywcc.edu/aboutwcc/whats_new/foundation2.htm
- Wharton, L. A. (1997). Observations on community college leadership. *Community College Review*, 25(1), 15– 24.
- Whisnant, W. T. (1990). The presidential image: key to effective leadership. *Community College Review*. Vol. 17 Issue 4. p10, 5p
- Wofford, J. C., & Liska, L. Z. (1993). Path-goal theories of leadership: A meta-analysis. *Journal of Management*, 19(4), 857-876.
- Wong, P. (2005). President's column: generosity: the positive psychology of giving *International Network on Personal Meaning*. Coquitlam, B.C., Canada. Retrieved March 15, 2005 from <http://www.meaning.ca/articles04/president/generosity-april04.htm>
- Worth, M. J. (2002). New strategies for educational fundraising / [edited by] by Vance T. Peterson. *American Council on Education*. Connecticut: Praeger Publishers West, Westport.
- Worth, M. J. (1993). Defining institutional advancement, development, and fundraising. In M. J. Worth (Ed.), *Educational fundraising: Principles and practice* (pp. 3-9). Phoenix, AZ: ORYX Press.
- Worth, M., & Asp, J. (1994). The development officer in higher education (ASHE-ERIC Higher Education Report, No. 4). Washington, DC: The George Washington University.
- Yin, R. K. (1994). *Case Study Research: Design and Methods*, second edition, Sage Publications: Thousand Oaks.

- Yukyl, G. (1998). Leadership in organizations. Toronto, ON: Prentice Hall Canada Inc.
- Zelditch, M. (1962). Some methodological problems of field studies. *American Journal of Sociology*, Vol. 67, No. 5: 566-576.
- Zeiss, T., & Paneitz, B. (2003). Weathering the Storm: Positive Reactions to Negative Budgets. *Leadership Abstracts*, 16(6)
[<http://www.league.org/publication/abstracts/leadership/labs0603.htm>].
Accessed March 9, 2005.

Vita

Alexander Charles Warren was born November 26, 1958 in Newark, New Jersey, to Earther Wells. Alex was raised by his grandmother, Framp and Rassie Warren along with a host of uncles and aunts in Ashton, South Carolina. After graduating from Ruffin High School, he was accepted to South Carolina State College. He later graduated from The University of Missouri at Columbia with a Bachelors of Science Degree in Agriculture Education. In 1995, he finished his Masters Degree at Prairie View A&M University. He entered graduate school at The University of Texas in Austin in May of 2003 in the Community College Leadership Program, within the Department of Educational Administration. Alex has served on numerous non-profits boards, consults non-profits and gives both time and efforts to community youth organizations.

Present address 2611 F.M. 1960 West Suite F-125 Houston, Texas 77068

This dissertation was typed by the author.